



HEALTH AFFAIRS



TRICARE  
Management  
Activity

# HIPAA Compliance Tool: HIPAA BASICS™

Quarterly Training: 2006

TMA Privacy Office

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It is intended solely for the use and information of the Military Health System.*

# Agenda

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- Compliance Assessment
- Introduction to HIPAA BASICS™
- User Roles and Responsibilities
- Subscription Account Setup
- Lead User Functions
- Compliance Assessment Outputs and Implementation
- Report Admin Interface
- Subscription Maintenance

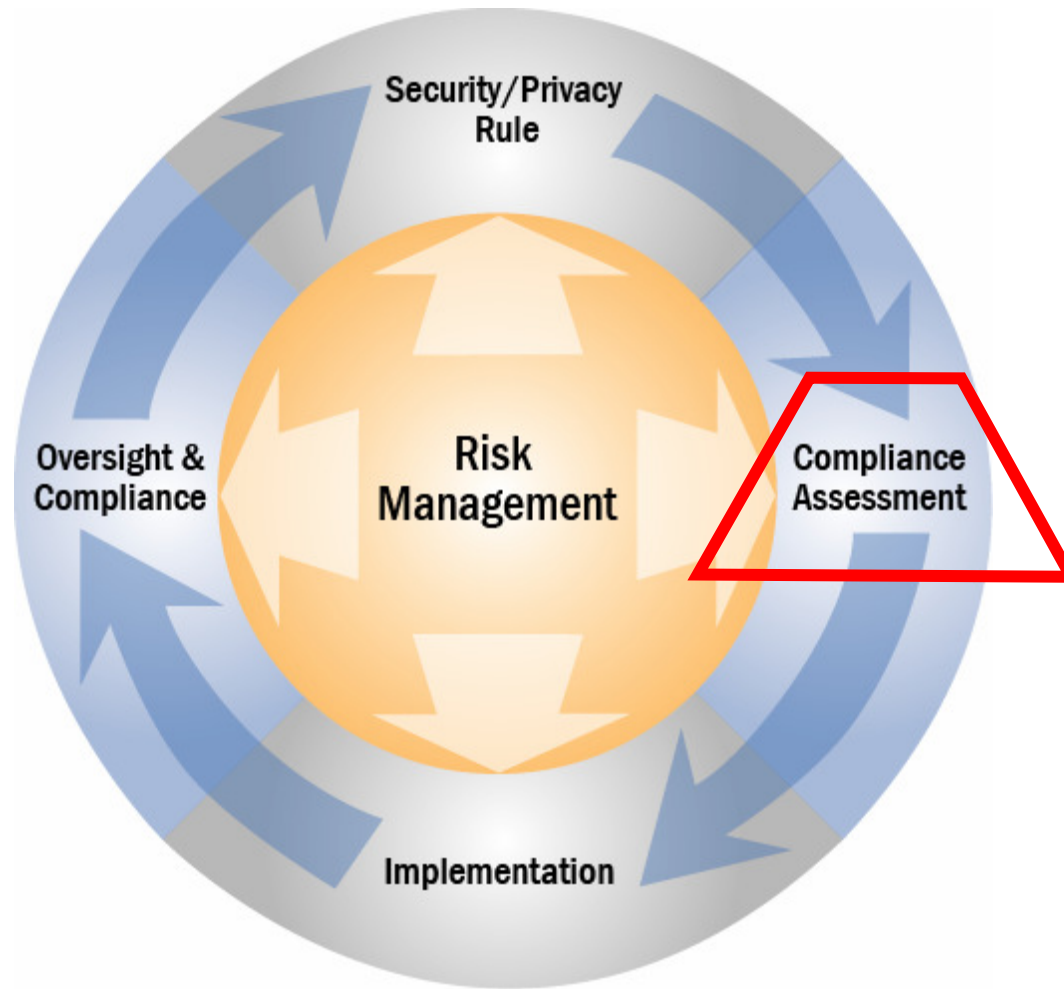
# Training Objectives

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- Upon completion of this training, you will be able to:
  - Identify the use of HIPAA BASICS™ in achieving HIPAA Compliance (Privacy/Security)
  - Describe the user roles and responsibilities within HIPAA BASICS™
  - Perform the functions of the Subscriber Administrator in HIPAA BASICS™
  - Perform the functions of the Lead User in HIPAA BASICS™
  - Describe the Report Admin interface and generate rolled up reporting

# HIPAA Implementation Life Cycle

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# Introduction

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- Target Audience: Individuals assigned responsibility for using HIPAA BASICS™ for tracking HIPAA Compliance
- Length of Training:
  - Lecture/Demo: 2 hours

# **Compliance Assessment**

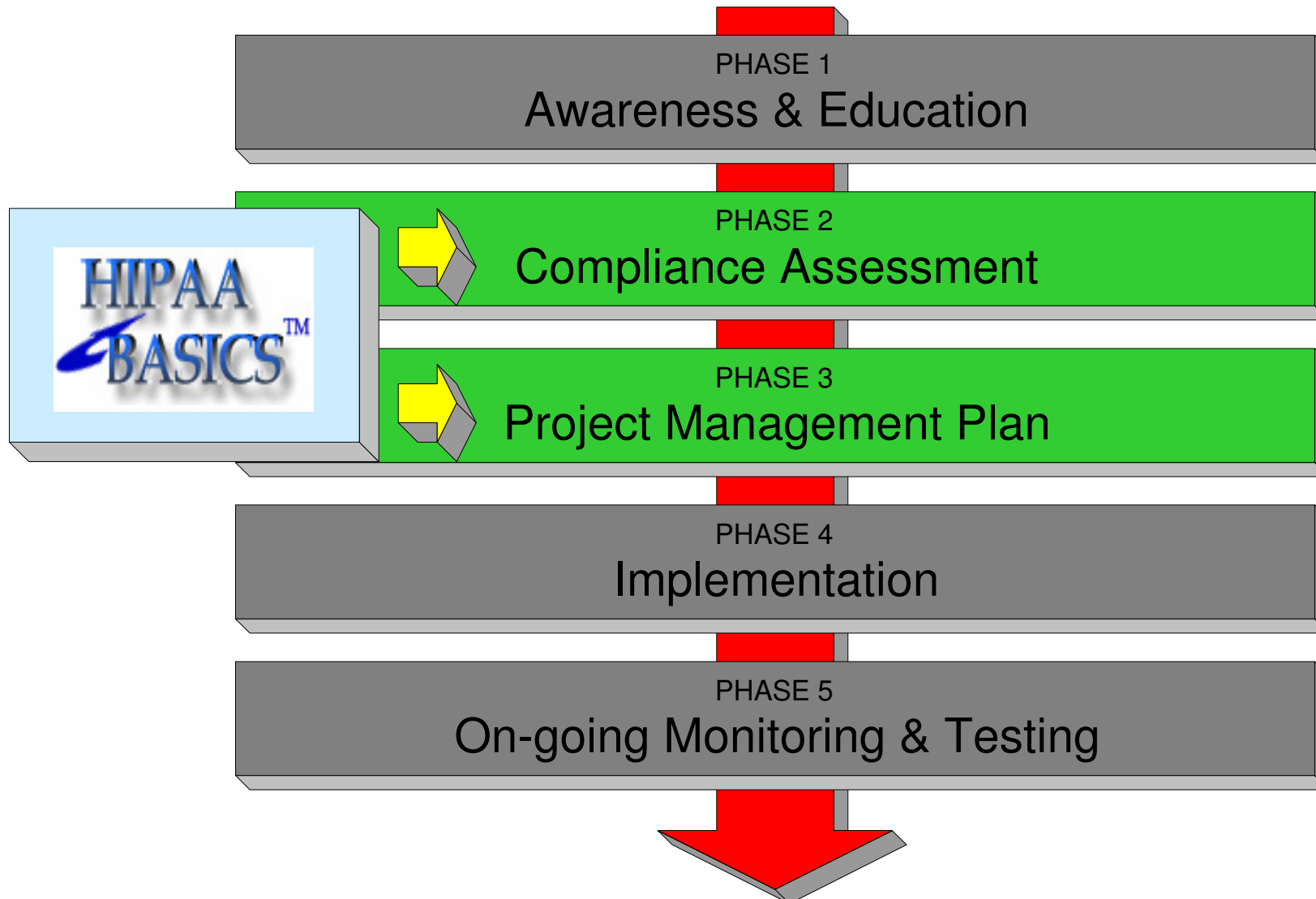
# Compliance Assessment Objectives

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- Upon completion of this lesson, you will be able to:
  - Describe how HIPAA BASICS™ fits into HIPAA Compliance
  - Describe what a compliance assessment is and how it fits into HIPAA BASICS™
  - Identify the steps that are taken to perform a compliance assessment using HIPAA BASICS™

## Compliance Assessment

# 5 Phase Approach to HIPAA Compliance





## Compliance Assessment

# What is a Compliance Assessment?

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- A compliance assessment of (Privacy/Security) is made up of all the requirements pertinent to a specific area within a Military Treatment Facility (MTF)
- A compliance assessment is set up using HIPAA BASICS™
- The outcome of a compliance assessment is dependent on how many of those requirements are met by the MTF and how many are not
- Areas where the requirements are not met are termed Gaps

COMPLIANCE ASSESSMENT = GAP ANALYSIS

## Compliance Assessment

# 4 Steps to Performing a Compliance Assessment

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1. Define the area that you would like to assess, i.e. Medical Records Department
  - (note: requirements can be sorted by HIPAA Rule, Functional area, or Category)
2. Assign and answer requirements
3. Generate an assessment report and create baseline
4. Mitigate the compliance gaps that exist

# A Few More Details About Compliance Assessments

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- Each compliance assessment is unique
  - Only users assigned to work on that assessment can view the information it contains
  - Assessments cannot be viewed across MTFs
- The tool does not share information between assessments
- Users may be assigned to work on multiple compliance assessments

# Compliance Assessment Summary

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- You should now be able to:
  - Describe how HIPAA BASICS™ fits into HIPAA Compliance
  - Describe what a compliance assessment is and how it fits into HIPAA BASICS™
  - Identify the steps that are taken to perform a compliance assessment using HIPAA BASICS™

# **Introduction to HIPAA BASICS™**

## Introduction to HIPAA BASICS™

# Objectives

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- Upon completion of this lesson, you will be able to:
  - Describe the purpose of HIPAA BASICS™
  - Identify the database structure of HIPAA BASICS™
  - Locate navigation features within HIPAA BASICS™

## Introduction to HIPAA BASICS™

# Use of HIPAA BASICS™

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- MHS HIPAA Security Integrated Project Team (IPT) is responsible for developing and executing strategy for implementation and maintenance of the HIPAA Security Rule requirements throughout DoD
- MHS must be able to establish an initial baseline and track progress toward compliance with HIPAA Security requirements
  - Report on the state of MHS HIPAA Security at any point in time
- TMA Privacy Office has provided HIPAA BASICS™ to track and document compliance with HIPAA Privacy and Security Rules
- Mandated for HIPAA Security on April 27, 2004
- Strongly recommended for HIPAA Privacy

## Introduction to HIPAA BASICS™

# What is HIPAA BASICS™

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- HIPAA BASICS™ is:
  - A web-based application
  - Used to collect, store, process data, and generate reports on HIPAA requirements
  - Assists you in identifying where compliance gaps exist and provides suggested compliance activities relating to HIPAA Administrative Simplification
  - Accessible at [hipaacompliance.tricare.osd.mil](http://hipaacompliance.tricare.osd.mil)



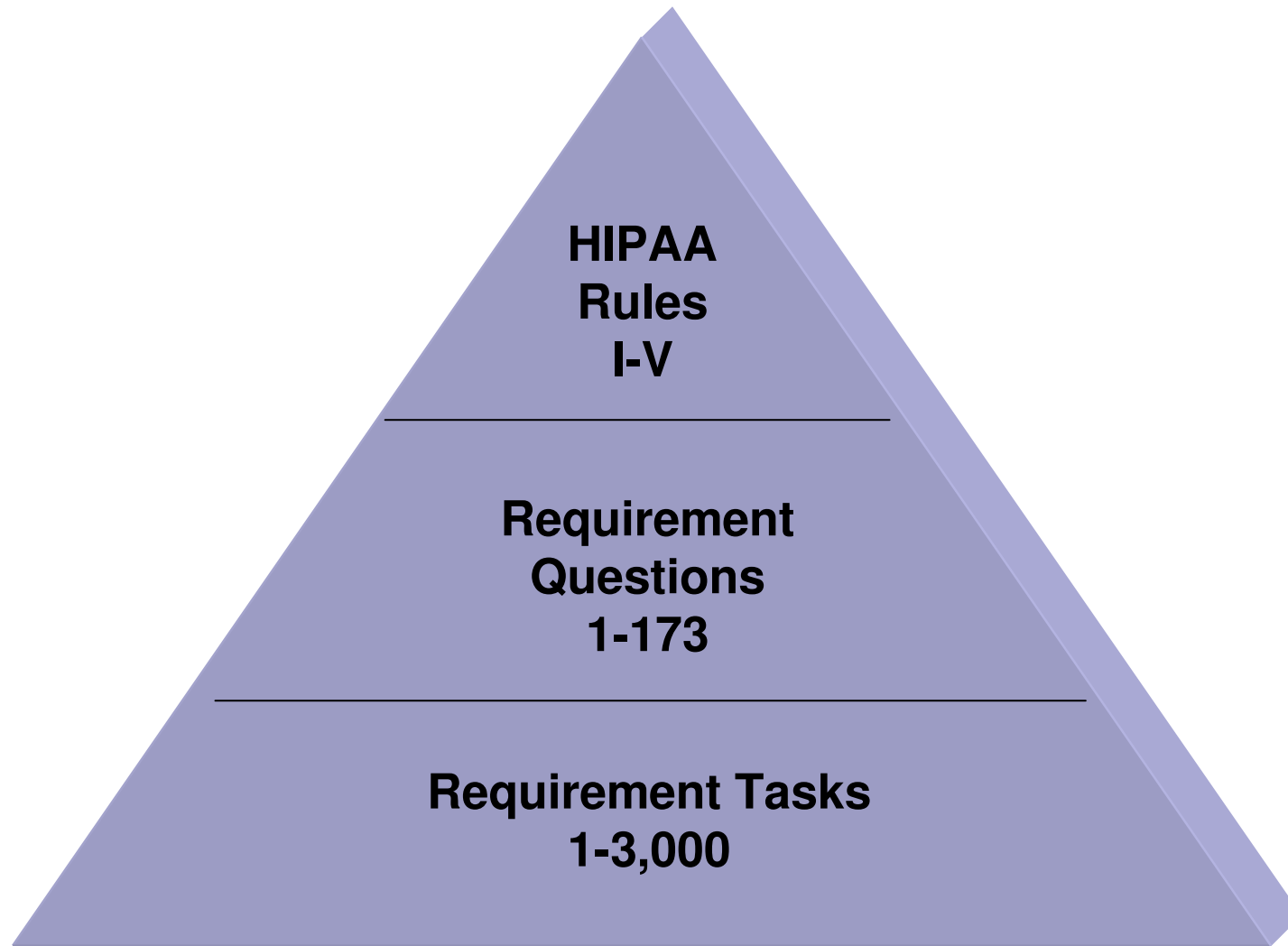
## 3 Components of HIPAA BASICS™

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- A **Database** containing continually updated information on HIPAA rules, broken down into discrete tasks that must be accomplished in order to achieve HIPAA Compliance
- An **Interface** between your MTF policies and practices and specific HIPAA requirements – enabling the user to clearly see where HIPAA standards are met and where compliance gaps exist
- A **Management Tool** to assign tasks, manage personnel, and monitor progress using customizable reports on compliance status

# HIPAA BASICS™ Database Structure (1 of 2)

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# HIPAA BASICS™ Database Structure (2 of 2)

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- **HIPAA Rule:** reference Privacy and Security Rule
- **Requirement Question:** refers to the HIPAA Privacy/Security standard or implementation specification
- **Requirement Task** (test item): a series of criteria designed to act as a checklist to determine compliance for a specific Requirement Question
  - An actionable step within a Project Plan required to obtain compliance

# HIPAA BASICS™ Data Organization

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- Requirement questions can be sorted one of several ways:
  - **HIPAA Rule**
    - Privacy, Security, Transactions and Code Sets, and Identifiers
  - **Project Category**
    - Related to compliance categories that cut across rules, such as Training or Records Maintenance
  - **Functional Area**
    - Organizational departments or areas such as, Human Resources or Medical Records
  - **Team Member Assignment**
    - Groups tasks by the user responsible for completing them

# Introduction to HIPAA BASICS™

## Navigation

- Proper logoff or you will get locked out for 20 minutes
- Use navigation buttons within HIPAA BASICS™
  - Log Off
  - Back
  - Menu

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 4)  
Lead User : Megan McCarron  
Target Completion :

Log Off Menu Back

Requirements and Gap Answers Help

☒ HIPAA Rule ☐ Functional Area ☐ Category

Security Standards Assigned to All Users

#	Requirement Question
107	<a href="#">A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.</a>
108	<a href="#">A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of electronic PHI was conducted (R).</a>
109	<a href="#">A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level is in place (R).</a>
110	<a href="#">A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures has been developed (R).</a>
111	<a href="#">Information System Activity Review procedures to regularly review records of system activity, such as audit logs, access reports, and security incident tracking</a>

## Introduction to HIPAA BASICS™

# How to Get Help with HIPAA BASICS™

- [Help](#) link - helpful information regarding the screen that you are on
- [Contact Us](#) link - allows you to send an email to the HIPAA Support Center
- [Info](#) link – provides information on updates, contains user manual

Subscriber : Training

Log Off Back Gap Analysis Project List Info Contact Us Help

Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	3/15/2002	MHS Samp xx.1	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	3/15/2004	MHS Samp xx.2	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

Users  
Gap Analysis Project List  
Policies & Forms  
Admin  
Subscriber Administrator

## Introduction to HIPAA BASICS™

# Summary

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- You should now be able to:
  - Describe the purpose of HIPAA BASICS™
  - Identify the database structure of HIPAA BASICS™
  - Locate navigation features within HIPAA BASICS™

# **Requirement Question Structure**



# Requirement Question Structure

## Objectives

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- Upon completion of this lesson, you will be able to:
  - Identify the purpose of requirement questions
  - Describe the process of answering requirement questions and related tasks
  - Identify the options for answers of requirement tasks

## Requirement Question Structure

# Purpose of Requirement Questions

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- Purpose of requirement questions in HIPAA BASICS™
  - How the requirement questions are answered allows users to track their level of compliance with HIPAA Privacy/Security
  - Unanswered questions are translated into a project plan that can be used to manage the compliance progress
  - Give users a more focused understanding of which specific issues need to be addressed in order to comply with HIPAA Privacy/Security

## Requirement Question Structure

# Tracking Compliance

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- Requirement questions track compliance with HIPAA Privacy/Security, as they:
  - Simplify each requirement into a set of tasks
  - Ask users if, and to what degree, their current policies and procedures satisfy each requirement or task
  - Give validity to users' response for each high-level requirement
  - Use a methodology that parallels other information technology security assessments
    - NIST 800-26 and the Federal Information Security Management Act (FISMA)
    - OCTAVE

## Requirement Question Structure

# Who Answers Requirement Questions

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- Answering requirement questions is a process which can be streamlined by:
  - Using the knowledge of “experts” at each MTF
  - Knowing where to find useful information
- Identify subject matter experts (SME) appropriate to each group of questions
- Delegate responsibility for tasks
  - Gather information on policy and procedures
  - Answer the requirement questions within the tool

## Requirement Question Structure

# Relevant Documentation

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- Examples of documentation that support your answers include:
  - Business case
  - Mission needs statement
  - User manuals
  - Operating procedures
  - DoD, Service, or facility privacy/security policies and/or standard operating procedures

## Requirement Question Structure

# Options for Answers

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- For all requirement tasks, one of the following answers must be selected:
  - **Complete**: the task is addressed and documentation of policies and procedures is provided as necessary in the free text field
  - **Not Complete**: the task had not been fully addressed
  - **Not Answered**: the question is unanswered
  - **Does Not Apply**: the task does not apply to the facility

# Requirement Question Structure

## Summary

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- You should now be able to:
  - Identify the purpose of requirement questions
  - Describe the process of answering requirement questions and related tasks
  - Identify the options for answers of requirement tasks

# **User Roles and Responsibilities**



## Roles and Responsibilities

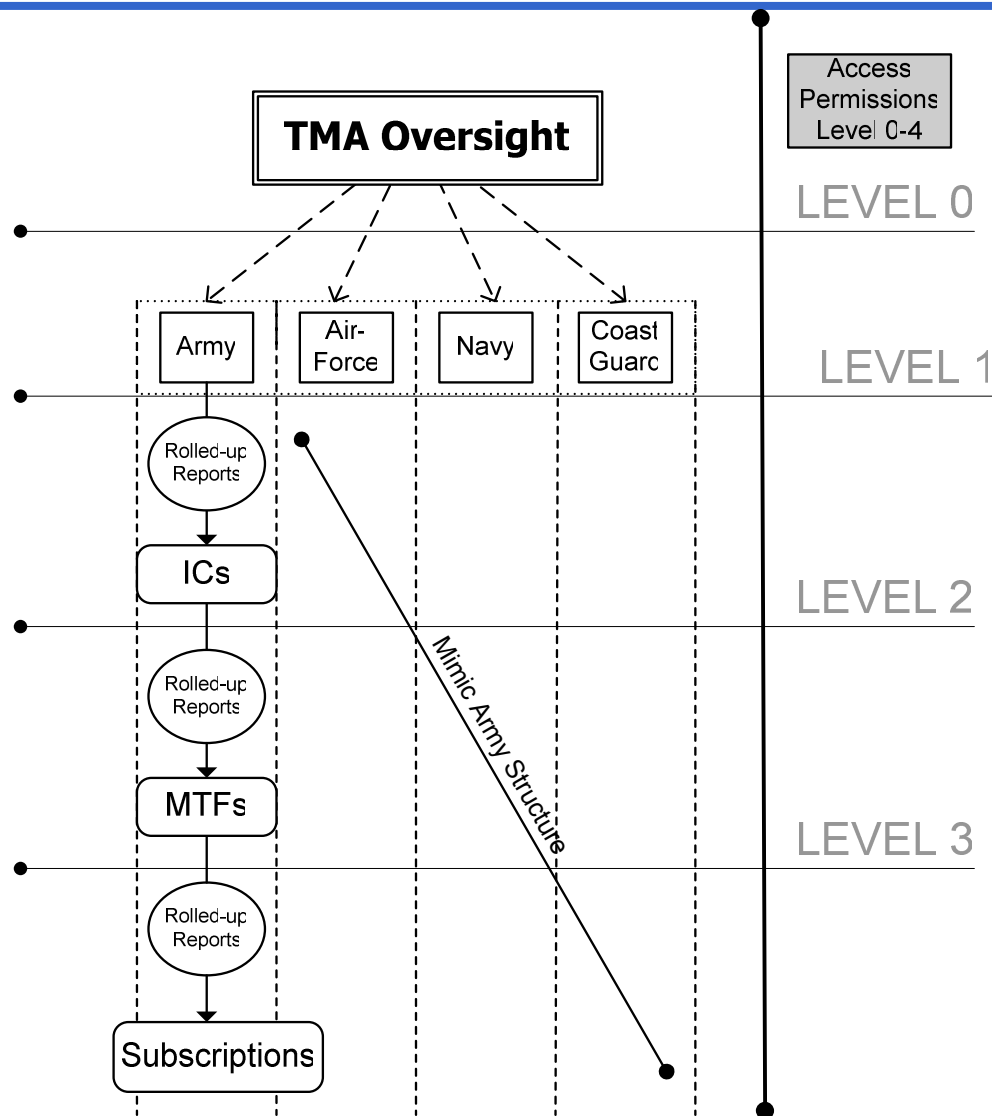
# Objectives

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- Upon completion of this lesson, you will be able to:
  - Describe the structure of subscriptions within HIPAA BASICS™
  - Identify users roles and responsibilities associated with:
    - Report Admin
    - Subscriber Administrator
    - Lead User
    - Regular User

## Roles and Responsibilities

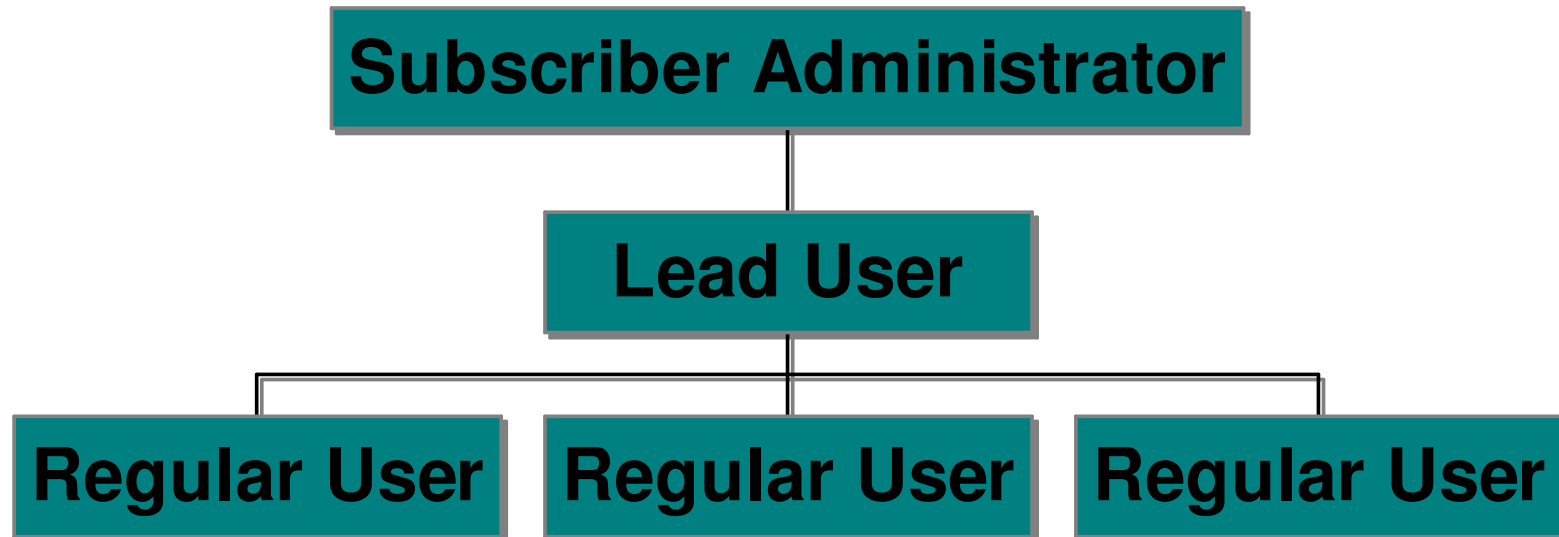
# High Level Hierarchy



## Roles and Responsibilities

# Subscription Structure

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## Roles and Responsibilities

# User Roles within HIPAA BASICS™

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- **Report Admins** are typically Privacy and Security Officers who are assigned the responsibility of generating rolled up compliance reporting
- The **Subscriber Administrator** should be someone with an appropriate level of security clearance or access, preferably someone with a high level of comfort with technology, such as an IT professional
- **Lead Users** are generally high level managers, such as the Compliance Officer or Privacy/Security Officer
- **Regular Users** are the SMEs in areas such as Medical Records

## **Roles and Responsibilities**

# **Report Admin Functions**

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- Run reports for organizations within their hierarchy (rolled up reporting)
- View profiles for Report Admins at the same level
- Ability to update profiles for subordinate Report Admins
- Login to Subscriptions
- Can have up to three Report Admins at each level within the hierarchy

## Roles and Responsibilities

# Subscriber Administrator Functions

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- Manage the tool administratively
- Create and edit user accounts within subscription
- View and edit all Gap Analysis across the subscription
- Add Gap Analysis for Lead Users within subscription
- Reassign Lead Users to Gap Analysis within subscription

## Roles and Responsibilities

# Lead User Functions

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- Manage compliance assessments
- Add members to a compliance assessment team
- Remove members from a compliance assessment team
- Assign requirements to team members
- Run reports and generate project plans
- Edit information related to their compliance assessments
- Download Policy and Form templates
- Assign gaps to a HIPAA rule
- Select gaps for rolled up reporting

## Roles and Responsibilities

# Regular User Functions

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- Address specific requirements to determine compliance
- View the work of other team members, however...
  - Can only answer requirement questions that they are assigned to them by the Lead User



## Roles and Responsibilities

# User Roles and Responsibilities Summary

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- You should now be able to:
  - Understand the structure of subscriptions within HIPAA BASICS™
  - Identify users roles and responsibilities associated with:
    - Report Admin
    - Subscriber Administrator
    - Lead User
    - Regular User

# **Subscription Account Setup**

# Subscription Account Setup

## Objectives

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- Upon completion of this lesson, you will be able to:
  - Describe the process for obtaining a Subscriber Administrator account
  - Log in as a Subscriber Administrator
  - Create user accounts within your subscription

## Subscription Account Setup

# Obtaining an Account

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- Subscriber Administrator accounts are created by the HIPAA Support Center
  - An approved request for a Subscription to be created must be routed to the HIPAA Support Center by the Service Representative, via the appropriate chain of command
  - Service Representatives must email the approved request to: [hipaasupport@tma.osd.mil](mailto:hipaasupport@tma.osd.mil)
- The Support Center will email the appropriate Subscriber Administrator login information to the designated individual

## Subscription Account Setup

# Subscriber Administrator Login (1 of 4)

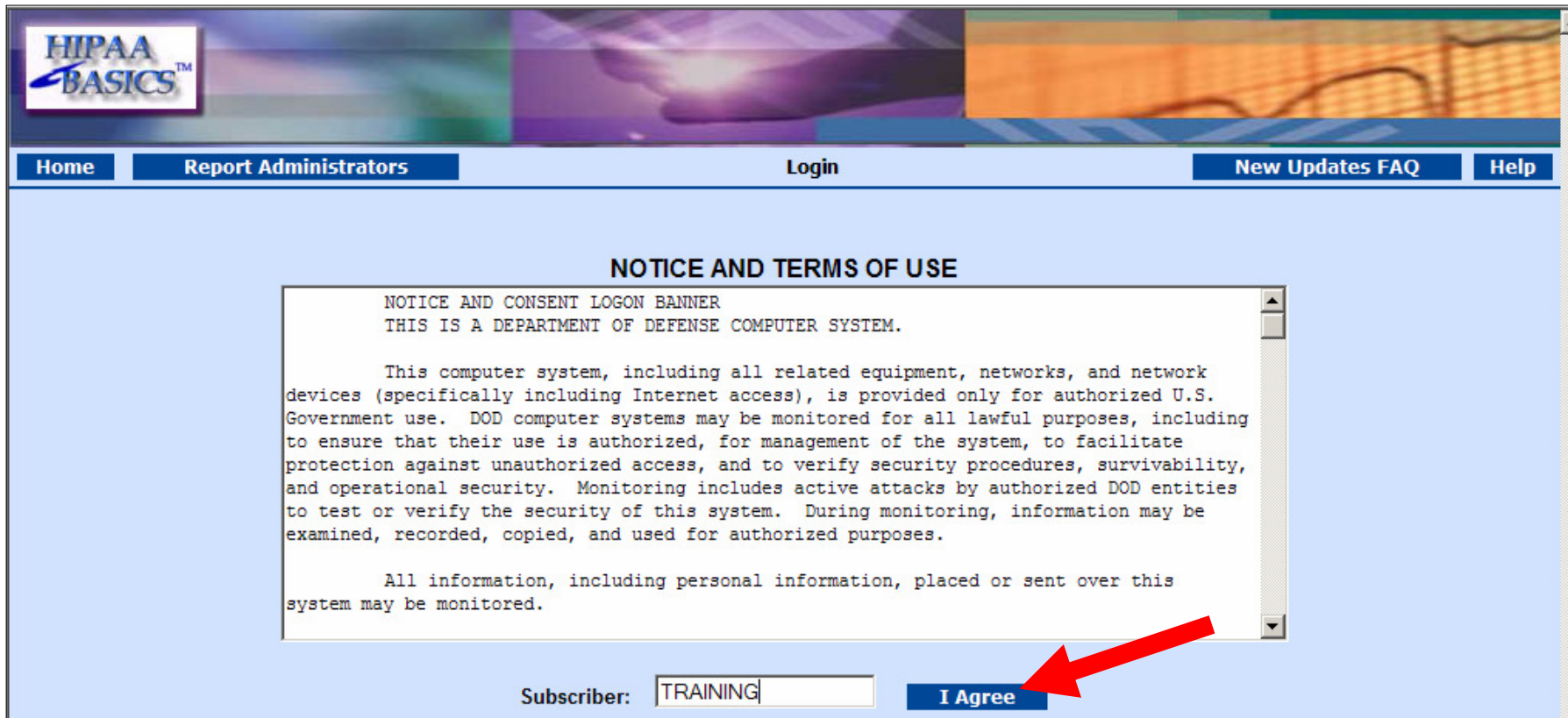
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- There are three pieces of information that must be known in order to login:
  - Subscription
  - User ID
  - Password
- Upon login for the first time you will be prompted to change your password
- Passwords must meet the DoD requirements (refer to User Guide)

## Subscription Account Setup

# Subscriber Administrator Login (2 of 4)

1. Enter the Subscriber
2. Click on **I Agree**



The screenshot shows the HIPAA BASICS website interface. At the top left is the 'HIPAA BASICS' logo. A navigation bar contains links: 'Home', 'Report Administrators', 'Login', 'New Updates FAQ', and 'Help'. The main content area displays a 'NOTICE AND TERMS OF USE' window. This window contains the following text:

NOTICE AND CONSENT LOGON BANNER  
THIS IS A DEPARTMENT OF DEFENSE COMPUTER SYSTEM.

This computer system, including all related equipment, networks, and network devices (specifically including Internet access), is provided only for authorized U.S. Government use. DOD computer systems may be monitored for all lawful purposes, including to ensure that their use is authorized, for management of the system, to facilitate protection against unauthorized access, and to verify security procedures, survivability, and operational security. Monitoring includes active attacks by authorized DOD entities to test or verify the security of this system. During monitoring, information may be examined, recorded, copied, and used for authorized purposes.

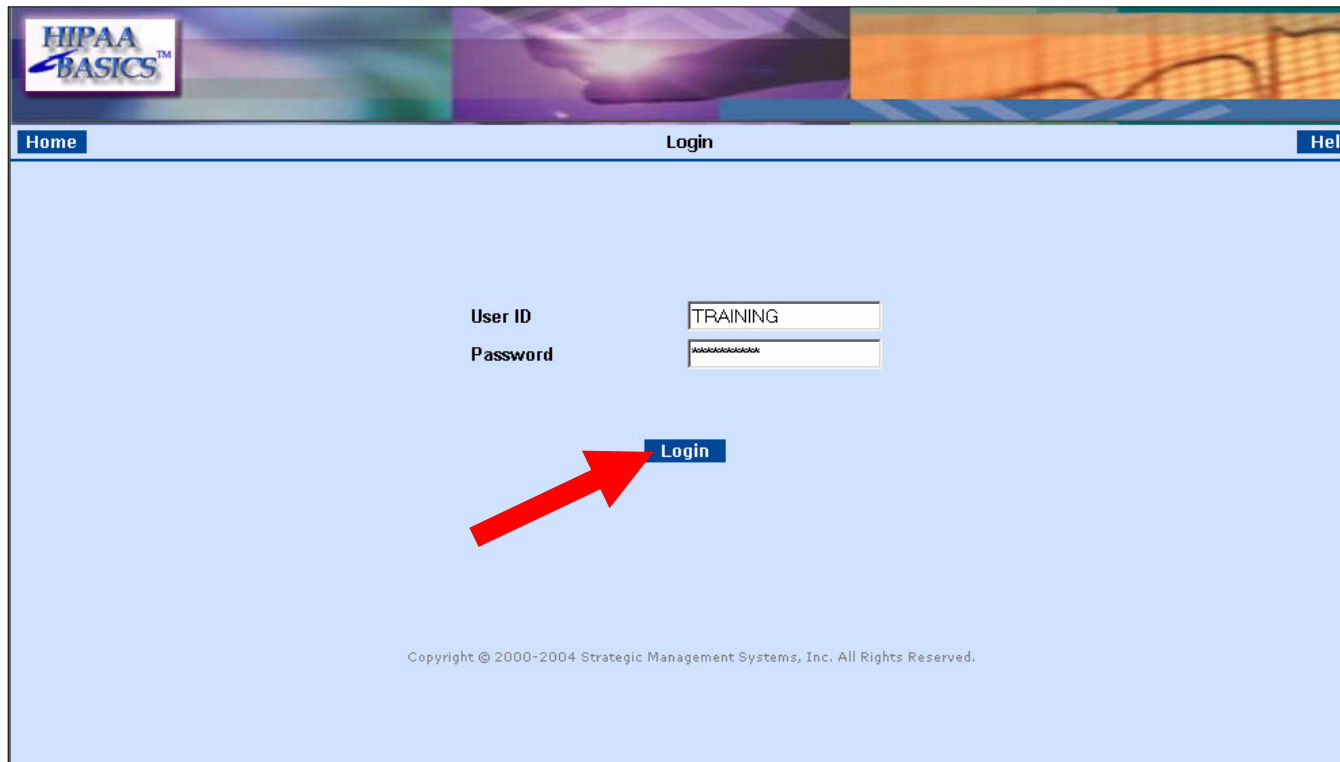
All information, including personal information, placed or sent over this system may be monitored.

Below the notice window, there is a 'Subscriber:' label followed by a text input field containing the word 'TRAINING'. To the right of the input field is a blue button labeled 'I Agree'. A large red arrow points from the bottom right towards the 'I Agree' button.

## Subscription Account Setup

# Subscriber Administrator Login (3 of 4)

3. Enter your User ID
4. Enter your password
5. Click on **Login**

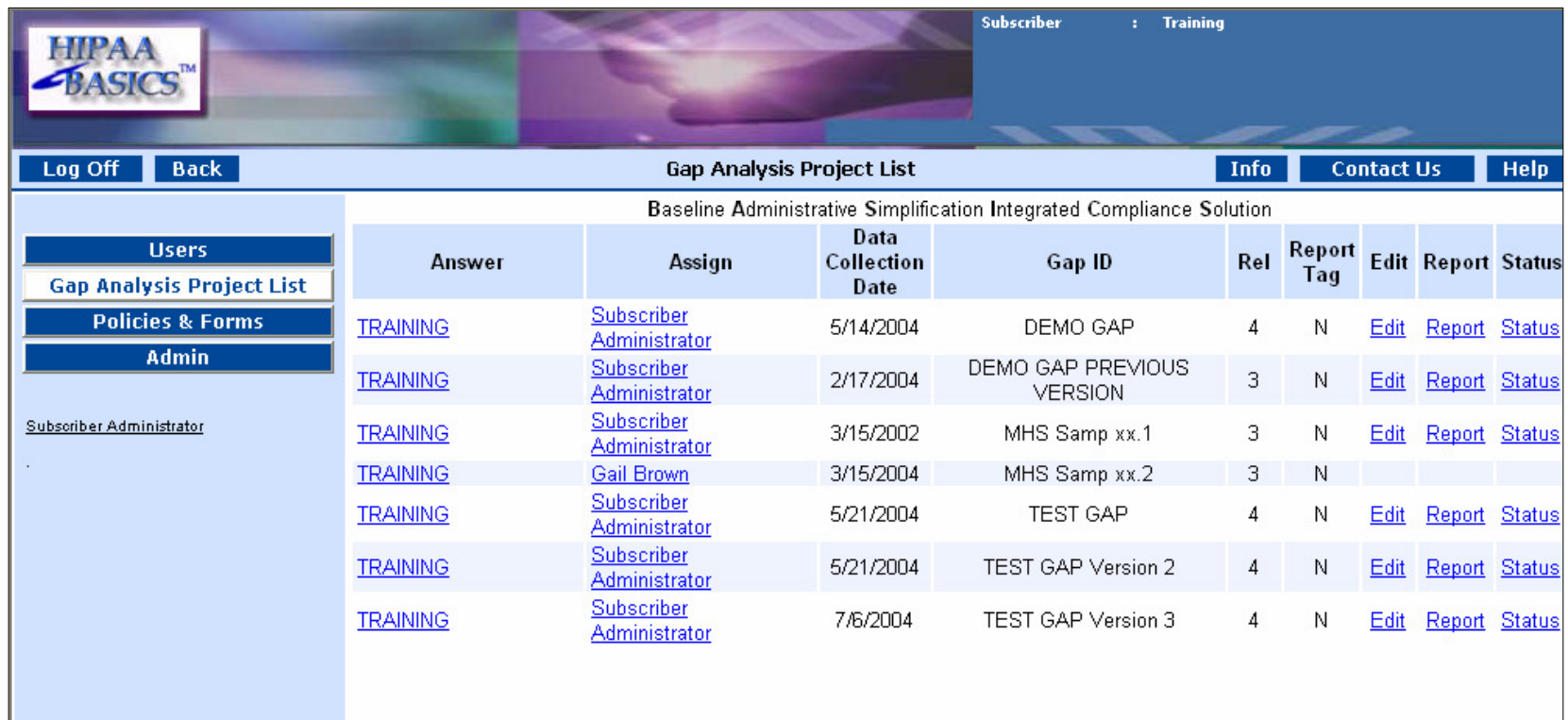


The screenshot shows the login interface for HIPAA BASICS. At the top, there is a banner with the HIPAA BASICS logo on the left and a graphic of a hand holding a glowing orb on the right. Below the banner is a navigation bar with three buttons: "Home", "Login", and "Help". The "Login" button is highlighted. The main content area is light blue and contains a login form. The form has two labels: "User ID" and "Password". The "User ID" field contains the text "TRAINING". The "Password" field contains a series of asterisks. Below the password field is a blue "Login" button. A large red arrow points to the "Login" button. At the bottom of the page, there is a copyright notice: "Copyright © 2000-2004 Strategic Management Systems, Inc. All Rights Reserved."

## Subscription Account Setup

# Subscriber Administrator Login (4 of 4)

- Default screen for Subscriber Administrators



Subscriber : Training

Log Off Back Gap Analysis Project List Info Contact Us Help

Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	3/15/2002	MHS Samp xx.1	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Gail Brown</a>	3/15/2004	MHS Samp xx.2	3	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/21/2004	TEST GAP	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/21/2004	TEST GAP Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	7/6/2004	TEST GAP Version 3	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

Users  
Gap Analysis Project List  
Policies & Forms  
Admin

Subscriber Administrator



## Subscription Account Setup

# Create User Accounts within Subscription (1 of 4)

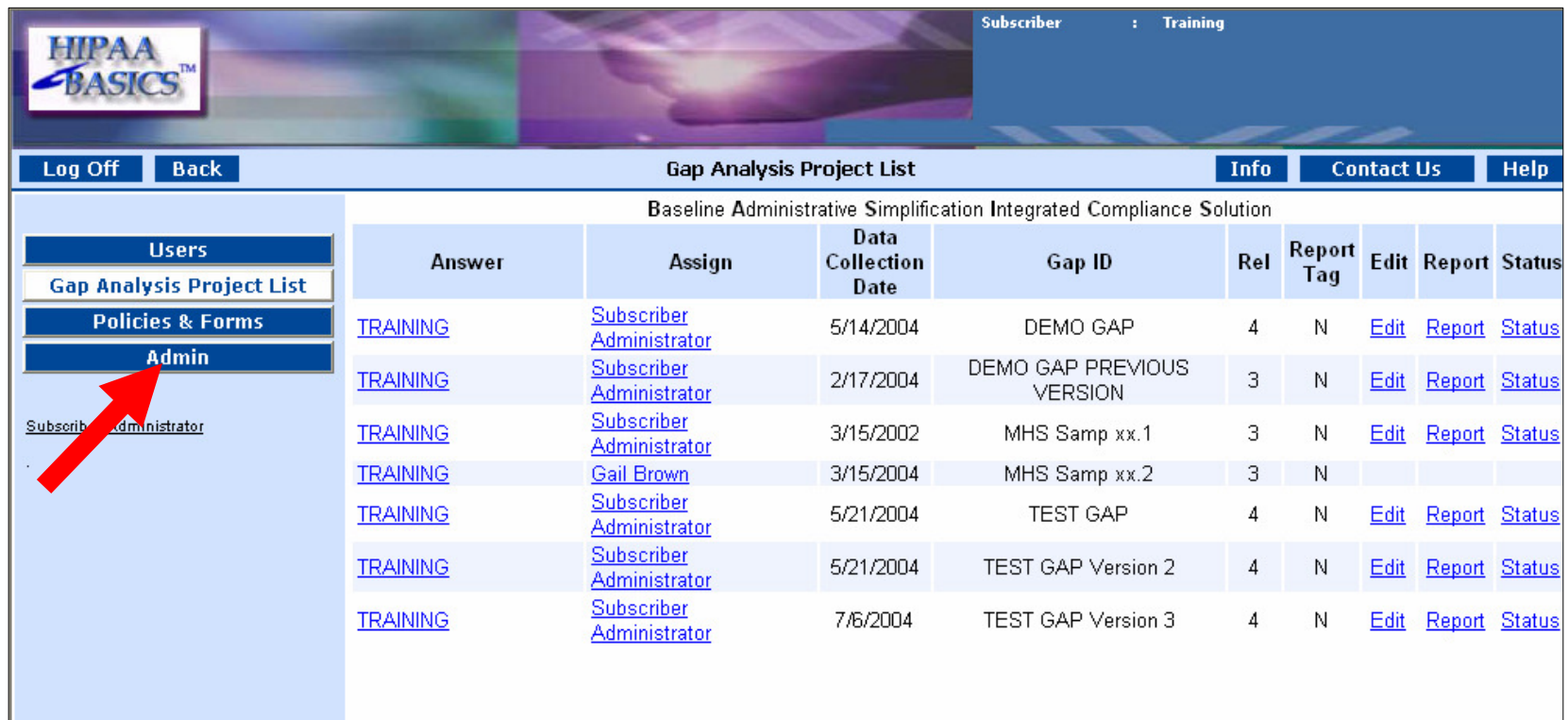
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- The Subscriber Administrator is responsible for creating all user accounts within their subscription
- User accounts must be established within a subscription before a user can be added to an assessment team
- A user may have more than one role within a given subscription

# Subscription Account Setup

## Create User Accounts within Subscription (2 of 4)

1. Click on the **Admin** button



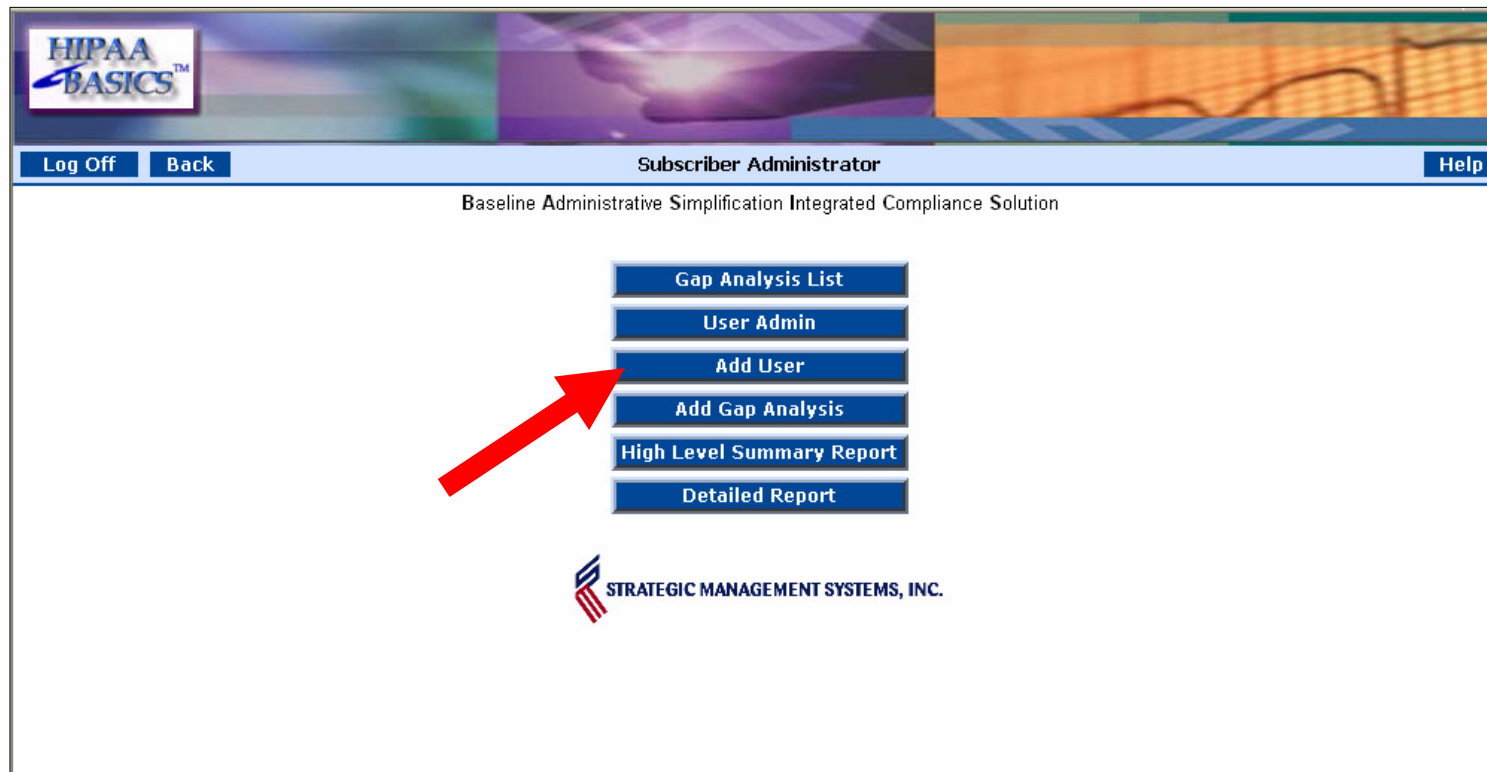
The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo on the left and a 'Subscriber : Training' indicator on the right. Below the header is a navigation bar with buttons for 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The main content area is divided into a left sidebar and a main table. The sidebar contains a menu with 'Users', 'Gap Analysis Project List', 'Policies & Forms', and 'Admin'. A red arrow points to the 'Admin' button. Below the menu, there is a 'Subscriber Administrator' link. The main table is titled 'Baseline Administrative Simplification Integrated Compliance Solution' and contains a list of gap analysis projects. The table has columns for 'Answer', 'Assign', 'Data Collection Date', 'Gap ID', 'Rel', 'Report Tag', 'Edit', 'Report', and 'Status'.

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	3/15/2002	MHS Samp xx.1	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Gail Brown</a>	3/15/2004	MHS Samp xx.2	3	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/21/2004	TEST GAP	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/21/2004	TEST GAP Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	7/6/2004	TEST GAP Version 3	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

## Subscription Account Setup

# Create User Accounts within Subscription (3 of 4)

2. Click on the [Add User](#) button from the Admin screen



## Subscription Account Setup

# Create User Accounts within Subscription (4 of 4)

3. Fill out the user's name, address, phone number, email address
4. Create a User ID and password for the user
5. Select the appropriate user level
6. Click on the **Add** button

FFA BASICS™

Please click on Add/Update to save changes...

Log Off Menu Back Add New User Help

Title	Commander	WWWeb	
*First Name	Jane	*E-Mail	jane.doe@email.com
Middle Name	M	Phone	703-234-4434
*Last Name	Doe	Fax	703-332-9776
Suffix		800	
Display as	<input checked="" type="radio"/> Full Name		
Address	123 Main St	Choose Password	
Address		*UserId	jdoe
City	Fairfax	*Password	*****
State	Virginia	*Confirm Password	*****
Country	USA	Level	User
Zip	22030		Lead User
			User

Clear Add

# Subscription Account Setup

## Summary

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- You should now be able to:
  - Describe the process for obtaining a Subscriber Administrator account
  - Log in as a Subscriber Administrator
  - Create user accounts within your subscription

# **Lead User Functions**

## Lead User Functions

# Objectives

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- Upon completion of this lesson, you will be able to:
  - Obtain a Lead User account and login as a Lead User
  - Identify the links in the Gap Analysis Project list
  - Create a Gap Analysis
  - Assign members to your assessment team
  - Answer requirements
  - Tag Gaps for reporting
  - Create baseline assessment
  - Reassign user assignments
  - Remove and Inactivate team members
  - View user assignments
  - Edit Gap Analysis details

## Lead User Functions

# Obtaining a Lead User Account

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- Lead User accounts are created by the Subscriber Administrator of a given subscription
- The Subscriber Administrator is responsible for communicating login information to the appropriate Lead User



## Lead User Functions

# Lead User Login (1 of 3)

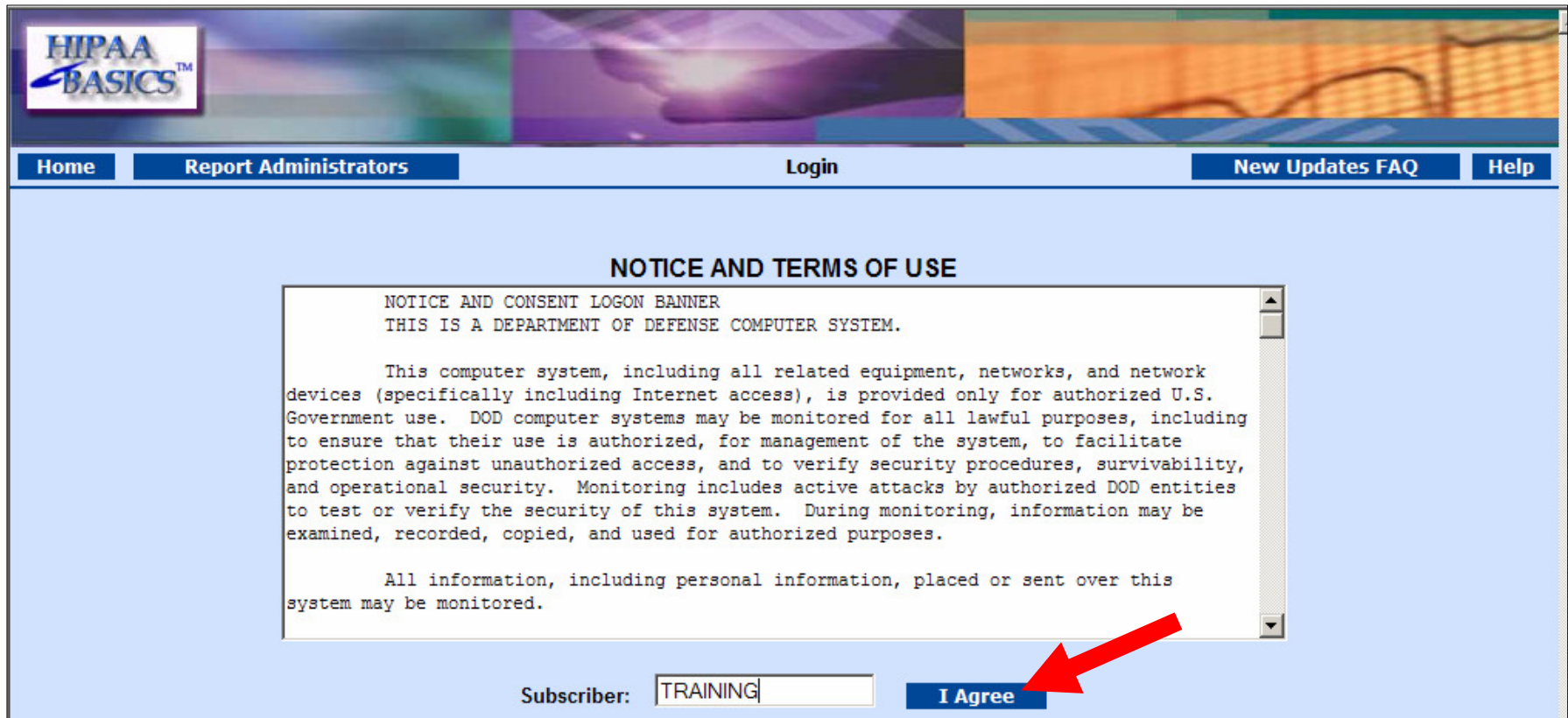
---

- There are three pieces of information that must be known in order to login:
  - Subscription
  - User ID
  - Password
- Upon logging in for the first time you will be prompted to change your password

## Lead User Functions

# Lead User Login (2 of 3)

1. Enter the Subscriber
2. Click on **I Agree**



The screenshot shows the HIPAA Basics login interface. At the top, there is a banner with the HIPAA Basics logo and a navigation bar with links: Home, Report Administrators, Login, New Updates FAQ, and Help. The main content area displays a 'NOTICE AND TERMS OF USE' dialog box. The dialog box contains the following text:

**NOTICE AND CONSENT LOGON BANNER**  
THIS IS A DEPARTMENT OF DEFENSE COMPUTER SYSTEM.

This computer system, including all related equipment, networks, and network devices (specifically including Internet access), is provided only for authorized U.S. Government use. DOD computer systems may be monitored for all lawful purposes, including to ensure that their use is authorized, for management of the system, to facilitate protection against unauthorized access, and to verify security procedures, survivability, and operational security. Monitoring includes active attacks by authorized DOD entities to test or verify the security of this system. During monitoring, information may be examined, recorded, copied, and used for authorized purposes.

All information, including personal information, placed or sent over this system may be monitored.

Below the dialog box, there is a 'Subscriber:' label followed by a text input field containing the text 'TRAINING'. To the right of the input field is a blue button labeled 'I Agree', which is highlighted with a red arrow.

## Lead User Functions

# Lead User Login (3 of 3)

3. Enter your User ID and password
4. Click on **Login**

The screenshot shows the HIPAA BASICS™ Lead User Login page. The header includes a logo and navigation links: Home, Login, and Help. The main content area is light blue and contains a login form with the following elements:


- User ID** label and input field containing "mmccarron"
- Password** label and input field containing "\*\*\*\*\*"
- Login** button

A red arrow points to the Login button. The footer contains the text: Copyright © 2000-2004 Strategic Management Systems, Inc. All Rights Reserved.

## Lead User Functions

# Gap Analysis Project List

- Default screen for Lead Users



Subscriber : Training

Log OffBack

Gap Analysis Project ListInfoContact UsHelp

Baseline Administrative Simplification Integrated Compliance Solution

Users	Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
Gap Analysis Project List	<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
Policies & Forms	<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
Add Gap	<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
High Level Summary Report	<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
Detailed Report	<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
Megan McCarron	<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

# Links in the Gap Analysis Project List Screen

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- **Answer**- allows user to answer the requirement and its related tasks
- **Assign**- allows Lead User to assign requirements and view status of related tasks
- **Data Collection Date**- indicates when a Gap Analysis was set up
- **Gap ID**- allows users to distinguish between Gap Analyses
- **Report Tag**- allows users to select (tag) a Gap for reporting
- **Edit**- allows Lead User to enter data, generate project plan, reassign users within Gap Analysis
- **Report**- allows Lead User to generate Gap Analysis reports
- **Status**- allows Lead User to create a graphical status report for a Gap Analysis

## Lead User Functions

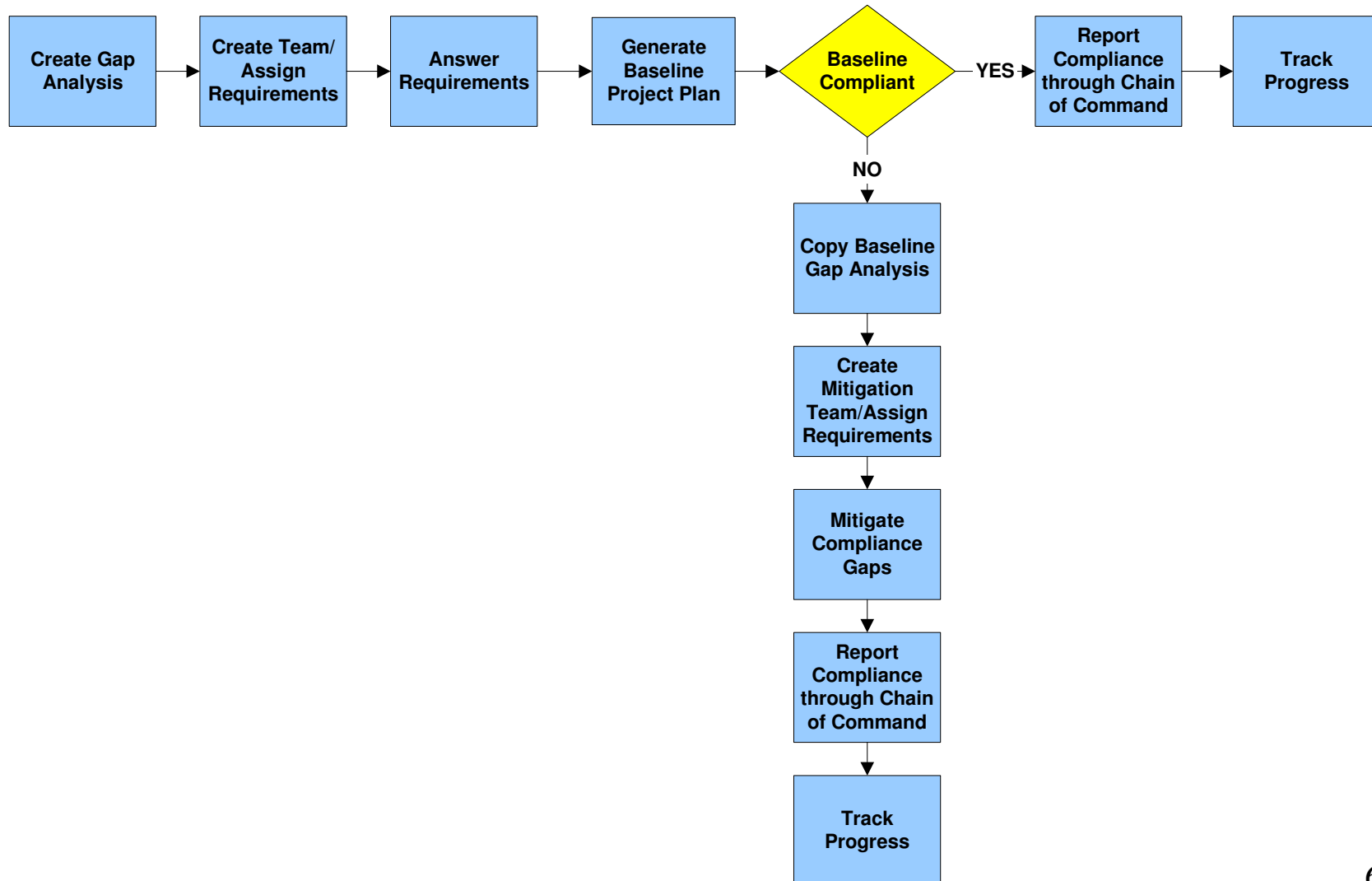
# Additional Links

---

- **Users** – displays all of the users by Gap ID
- **Gap Analysis Project List** - displays Lead User's assessments
- **Policies and Forms**- used as a reference to specific policies and forms that can be customized to meet MTF requirements
- **Add Gap** – used to add a new Gap Analysis Project
- **High Level Summary**- generate high level summary report for a Gap
- **Detailed Report**- generate detailed report for a Gap
- **User Name** – allows you to view information about the user details of your account

## Lead User Functions

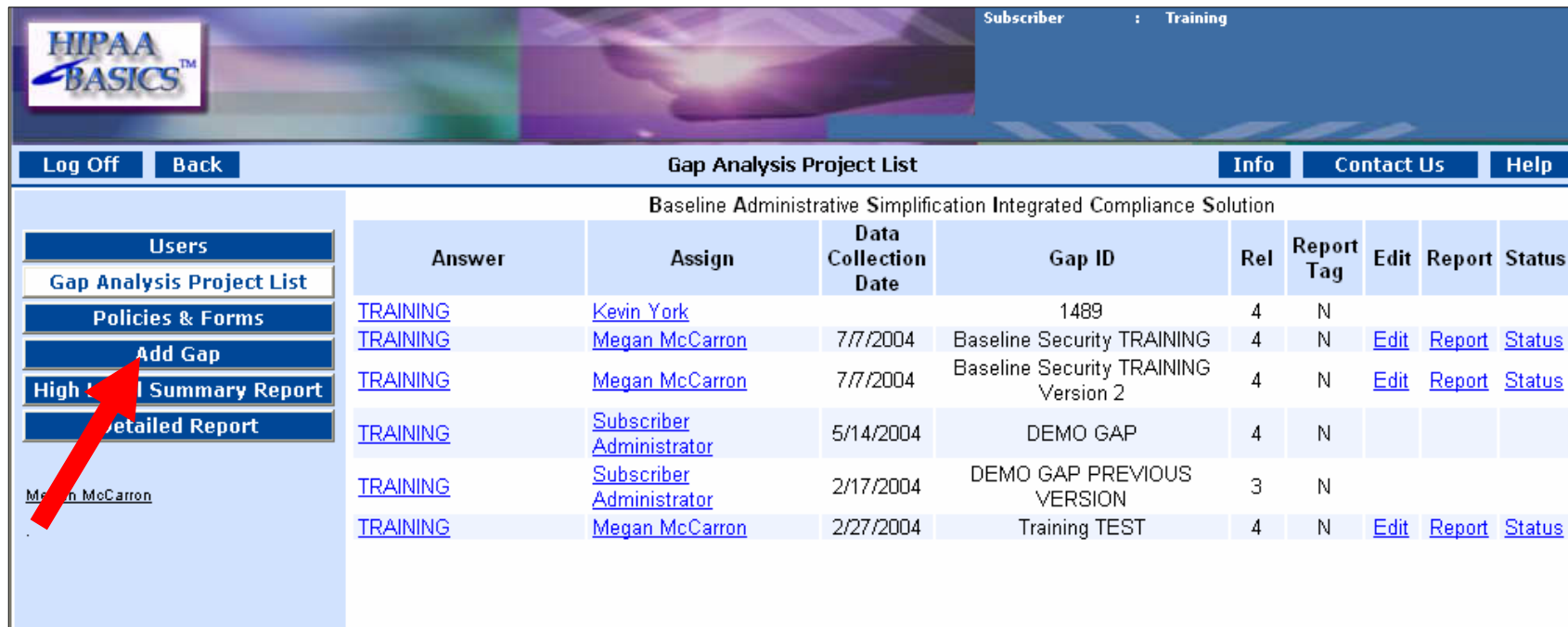
# Create a Gap Analysis (1 of 3)



## Lead User Functions

# Create a Gap Analysis (2 of 3)

1. Click on the **Add Gap** button



The screenshot displays the HIPAA BASICS web application. At the top, there is a header with the HIPAA BASICS logo and a 'Subscriber : Training' indicator. Below the header is a navigation bar with buttons for 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The main content area is titled 'Baseline Administrative Simplification Integrated Compliance Solution'. On the left, a sidebar contains a menu with 'Users', 'Gap Analysis Project List', 'Policies & Forms', 'Add Gap', 'High Level Summary Report', and 'Detailed Report'. A red arrow points to the 'Add Gap' button. The main area shows a table of gap analysis projects.

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>



## Lead User Functions

# Create a Gap Analysis (3 of 3)

2. Enter the Data Collection Date and Gap ID
3. Assign HIPAA Rule
4. Click on **Add**

Security Nomenclature:

Baseline Security MTF

Active Security MTF\*

Security Q105 MTF

Please click on Add/Update to save changes...

**Log Off** **Back** **Add New Gap Analysis Project** **Help**

**\*Lead User** Megan McCarron

**Data Collection Date (mm/dd/yyyy)** 04/28/2005

**Gap ID** TRNG Test

**Notes for Client**

**Date Completed (mm/dd/yyyy)**

**Internal**

**HIPAA Rule**  
Please select the HIPAA rule this GAP is associated with. If this GAP is being used for training or testing purposes, and will not be used for rolled up reporting, please leave the selection blank.

**Partial Gap Analysis (OPTIONAL):**  
If you wish to set HIPAA Rule(s) as Not Applicable, you may uncheck the corresponding Applicability boxes and thereby pre-answer with "Does Not Apply". This has the effect that the Status of all Tasks for the Requirements of the deselected Rule(s) are set to "Does Not Apply".

**Applicability**

Standards for Electronic Transactions and Code Sets ☐

Standard Unique Health Identifier for Health Care Providers ☐

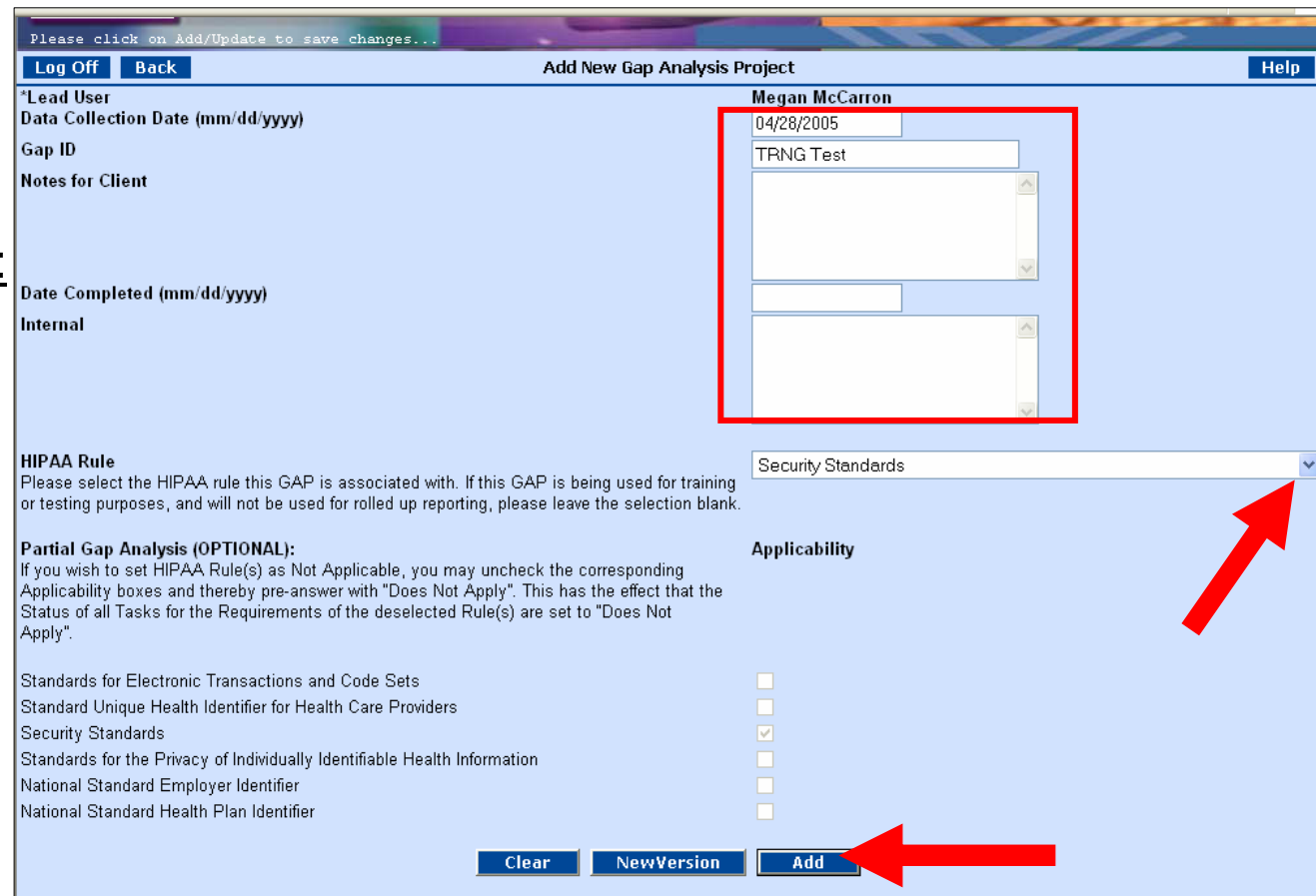
Security Standards ☒

Standards for the Privacy of Individually Identifiable Health Information ☐

National Standard Employer Identifier ☐

National Standard Health Plan Identifier ☐

**Clear** **NewVersion** **Add**



## Lead User Functions

# Assigning Gaps to a HIPAA Rule

---

- Associates a Gap to a HIPAA Rule (Privacy or Security)
- Once assigned a HIPAA Rule, all other rules default to not-applicable
- All menus will default to the assigned HIPAA Rule
  - Eliminates sorting
- Current Gaps in the system have not been assigned a HIPAA Rule
  - Lead Users or Subscriber Admins will need to assign Gaps as appropriate
- Gaps must be assigned to a HIPAA Rule for reporting purposes

## Lead User Functions

# Assign Members to your Team (1 of 5)


---

- Once the Gap Analysis is created, you can assign members to your assessment team
- A user must be part of your subscription in order for them to be added to your team
- As part of your team, these members will play a key role in carrying out the assessment by answering assigned requirements
- Each Gap Analysis has its own team

## Lead User Functions

# Assign Members to your Team (2 of 5)

1. Select the [Assign](#) link for your Gap Analysis



Subscriber : Training

Log OffBack

Gap Analysis Project ListInfoContact UsHelp

Users

Gap Analysis Project List

Policies & Forms

Add Gap

High Level Summary Report

Detailed Report

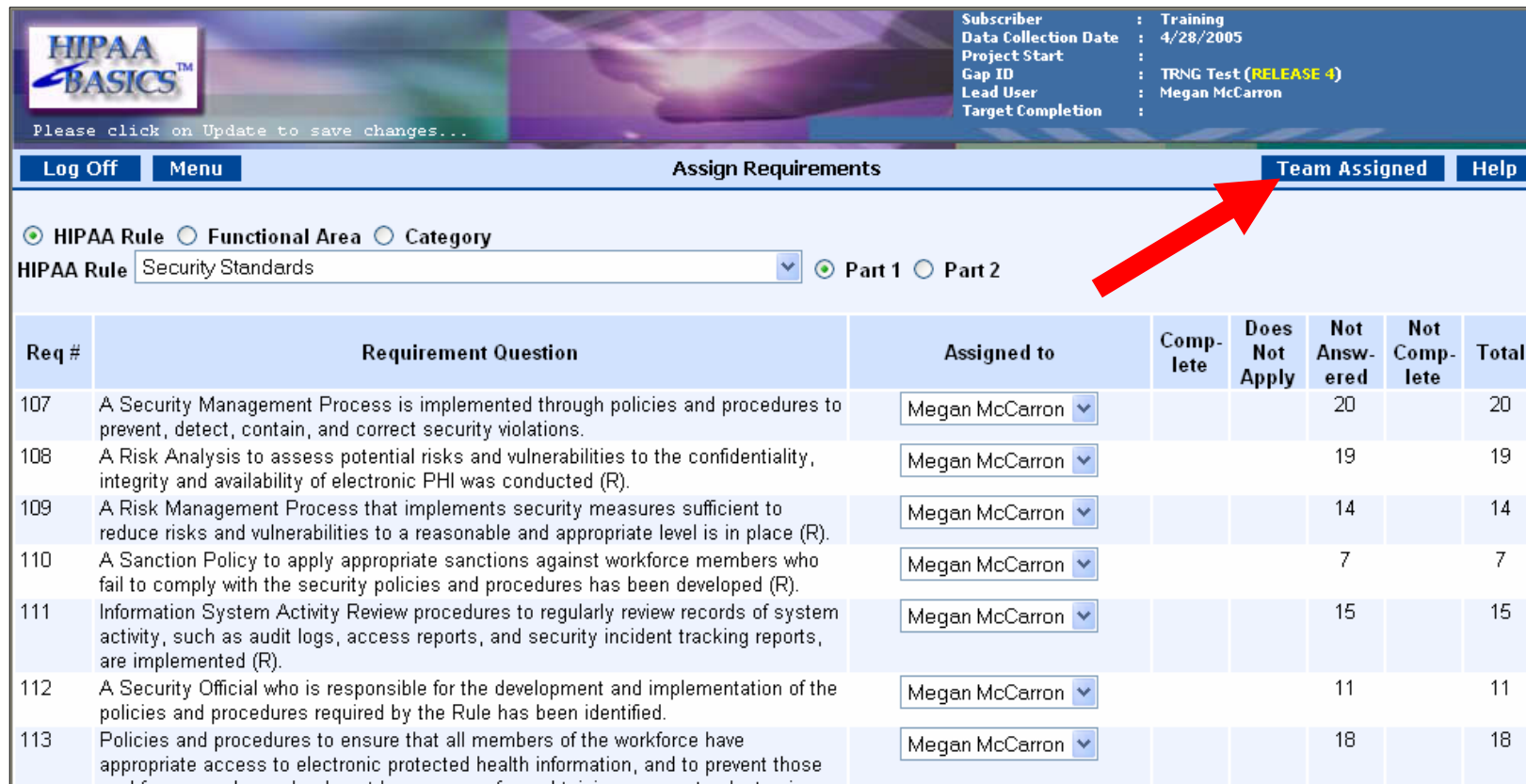
Megan McCarron

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

## Lead User Functions

# Assign Members to your Team (3 of 5)

## 2. Click on the Team Assigned button



The screenshot shows the HIPAA BASICS application interface. At the top, there is a header bar with the HIPAA BASICS logo on the left and a status bar on the right containing the following information:

- Subscriber : Training
- Data Collection Date : 4/28/2005
- Project Start :
- Gap ID : TRNG Test (RELEASE 4)
- Lead User : Megan McCarron
- Target Completion :

Below the header bar, there is a navigation bar with the following buttons: Log Off, Menu, Assign Requirements, Team Assigned, and Help. A red arrow points to the 'Team Assigned' button.

Below the navigation bar, there is a section for filtering requirements. It includes radio buttons for 'HIPAA Rule' (selected), 'Functional Area', and 'Category'. Below these, there is a dropdown menu for 'HIPAA Rule' with 'Security Standards' selected. To the right of the dropdown, there are radio buttons for 'Part 1' (selected) and 'Part 2'.

Below the filtering section, there is a table with the following columns: Req #, Requirement Question, Assigned to, Complete, Does Not Apply, Not Answered, Not Complete, and Total.

Req #	Requirement Question	Assigned to	Complete	Does Not Apply	Not Answered	Not Complete	Total
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.	Megan McCarron			20		20
108	A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of electronic PHI was conducted (R).	Megan McCarron			19		19
109	A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level is in place (R).	Megan McCarron			14		14
110	A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures has been developed (R).	Megan McCarron			7		7
111	Information System Activity Review procedures to regularly review records of system activity, such as audit logs, access reports, and security incident tracking reports, are implemented (R).	Megan McCarron			15		15
112	A Security Official who is responsible for the development and implementation of the policies and procedures required by the Rule has been identified.	Megan McCarron			11		11
113	Policies and procedures to ensure that all members of the workforce have appropriate access to electronic protected health information, and to prevent those workforce members who do not have access from obtaining access to electronic	Megan McCarron			18		18

## Lead User Functions

# Assign Members to your Team (4 of 5)

3. Click on the **Add** button to add a member to your team

**HIPAA BASICS™**

Please click on Update to save changes...

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :

Log Off Menu Team Assigned Assign Requirement Help

Lead User: Megan McCarron

Check to Delete	Team Members
<input type="checkbox"/>	Alec Karry
<input type="checkbox"/>	Gail Brown
<input type="checkbox"/>	Karla Cisneros
<input type="checkbox"/>	Megan McCarron
<input type="checkbox"/>	Rommie Misleh

**Add** **Delete**

## Lead User Functions

# Assign Members to your Team (5 of 5)

4. Using the “Team Members” drop down box, select the user that you want to add to your team
5. Click on the **Save** button

**HIPAA BASICS™**

Please click on Update to save changes...

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :

Log Off Menu Team Assigned Assign Requirement Help

Lead User: Megan McCarron

Check to Delete

**Team Members**

☐ Alec Karry  
☐ Gail Brown  
☐ Karla Cisneros  
☐ Megan McCarron  
☐ Rommie Misleh

**Save**

A. Karry  
Alec Karry  
Gail Brown  
Jane Doe  
Karla Cisneros  
Megan McCarron  
Natalie Scovel  
R. Misleh  
Rommie Misleh  
Colonel Regular User

# Assign Requirements to Team Members (1 of 4)

---


- Once a team of users has been assigned to the Gap Analysis, the users can be assigned requirements
- You should use your SMEs



## Lead User Functions

# Assign Requirements to Team Members (2 of 4)

1. Select the [Assign](#) link for your Gap Analysis



Subscriber : Training

Log Off Back

Gap Analysis Project List Info Contact Us Help

Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

Users

Gap Analysis Project List

Policies & Forms

Add Gap

High Level Summary Report


Detailed Report

Megan McCarron

## Lead User Functions

# Assign Requirements to Team Members (4 of 4)

2. Using the “Assigned To” drop down box, select the team member you want to assign each requirement
3. Once you have completed your requirements assignment, scroll to the bottom of the screen and click on **Update**



Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :

Please click on Update to save changes...

[Log Off](#) [Menu](#) **Assign Requirements** [Team Assigned](#) [Help](#)

☒ HIPAA Rule ☐ Functional Area ☐ Category  
HIPAA Rule   ☒ Part 1 ☐ Part 2

Req #	Requirement Question	Assigned to	Complete	Does Not Apply	Not Answered	Not Complete	Total
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.	Megan McCarron	5		15		20
108	A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of electronic PHI was conducted (R).	Alec Karry Gail Brown Jane Doe Karla Cisneros Megan McCarron Rommie Misleh	19				19
109	A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level is in place (R).		14				14
110	A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures has been developed (R).				7		7
111	Information System Activity Review procedures to regularly review records of system activity, such as audit logs, access reports, and security incident tracking reports, are implemented (R).	Karla Cisneros			15		15
112	A Security Official who is responsible for the development and implementation of the policies and procedures required by the Rule has been identified.	Karla Cisneros	11				11
113	Policies and procedures to ensure that all members of the workforce have appropriate access to electronic protected health information, and to prevent those workforce members who do not have access from obtaining access to electronic protected health information are implemented.	Gail Brown	3		15		18
114	Procedures for the Authorization and/or Supervision of workforce members who work with electronic protected health information or in locations where it might be accessed have been implemented (R).	Alec Karry			9		9

# Answer Requirements (1 of 10)

---

- This is a function that can be performed by all users
- Each Requirement Question is broken down into supporting tasks
  - Up to 20 tasks for each requirement
- Notes
  - Requirement note
    - Comment indicating how the requirement was met
    - Required by TMA
  - Task note
    - Used to reference policy/document that was used to answer a given task

## Lead User Functions

# Answer Requirements (2 of 10)

1. Select the [Answer](#) link on the Gap Analysis Project List screen

Subscriber : Training

Log Off Back Gap Analysis Project List Info Contact Us Help

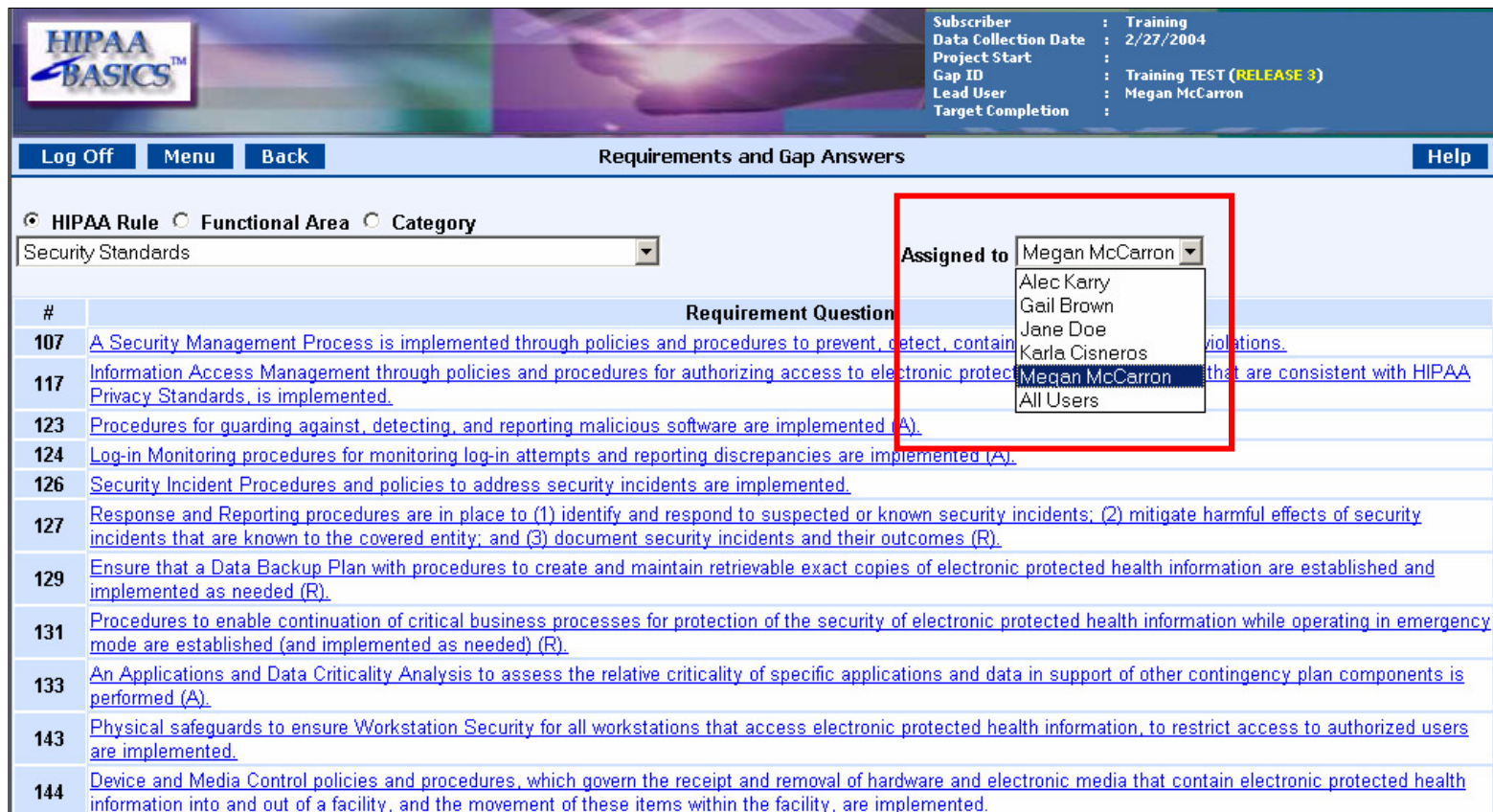
Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

## Lead User Functions

# Answer Requirements (3 of 10)

2. Select your name from the “Assigned To” drop down box to view your assignments



**HIPAA BASICS™**

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :  
Log Off Menu Back Requirements and Gap Answers Help

☒ HIPAA Rule ☐ Functional Area ☐ Category  
Security Standards

**Assigned to** Megan McCarron

- Alec Karry
- Gail Brown
- Jane Doe
- Karla Cisneros
- Megan McCarron
- All Users

#	Requirement Question
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain
117	Information Access Management through policies and procedures for authorizing access to electronic protected
123	Privacy Standards, is implemented.
124	Procedures for guarding against, detecting, and reporting malicious software are implemented (A).
126	Log-in Monitoring procedures for monitoring log-in attempts and reporting discrepancies are implemented (A).
127	Security Incident Procedures and policies to address security incidents are implemented.
129	Response and Reporting procedures are in place to (1) identify and respond to suspected or known security incidents; (2) mitigate harmful effects of security incidents that are known to the covered entity; and (3) document security incidents and their outcomes (R).
131	Ensure that a Data Backup Plan with procedures to create and maintain retrievable exact copies of electronic protected health information are established and implemented as needed (R).
133	Procedures to enable continuation of critical business processes for protection of the security of electronic protected health information while operating in emergency mode are established (and implemented as needed) (R).
143	An Applications and Data Criticality Analysis to assess the relative criticality of specific applications and data in support of other contingency plan components is performed (A).
144	Physical safeguards to ensure Workstation Security for all workstations that access electronic protected health information, to restrict access to authorized users are implemented.
144	Device and Media Control policies and procedures, which govern the receipt and removal of hardware and electronic media that contain electronic protected health information into and out of a facility, and the movement of these items within the facility, are implemented.

## Lead User Functions

# Answer Requirements (4 of 10)

3. Select the link for the Requirement Question that you will answer

The screenshot displays the HIPAA BASICS web application. At the top, there is a header with the HIPAA BASICS logo and a navigation bar with links for Log Off, Menu, Back, and Help. Below the header, a sidebar on the left contains filters for HIPAA Rule, Functional Area, and Category, with 'Security Standards' selected. The main content area is titled 'Requirements and Gap Answers' and shows a table of requirement questions. A red arrow points to the first question in the table, which is numbered 107.

#	Requirement Question
107	<a href="#">A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.</a>
117	<a href="#">Information Access Management through policies and procedures for authorizing access to electronic protected health information, that are consistent with HIPAA Privacy Standards, is implemented.</a>
121	<a href="#">Procedures for guarding against, detecting, and reporting malicious software are implemented (A).</a>
124	<a href="#">Log-in Monitoring procedures for monitoring log-in attempts and reporting discrepancies are implemented (A).</a>
126	<a href="#">Security Incident Procedures and policies to address security incidents are implemented.</a>
127	<a href="#">Response and Reporting procedures are in place to (1) identify and respond to suspected or known security incidents; (2) mitigate harmful effects of security incidents that are known to the covered entity; and (3) document security incidents and their outcomes (R).</a>
129	<a href="#">Ensure that a Data Backup Plan with procedures to create and maintain retrievable exact copies of electronic protected health information are established and implemented as needed (R).</a>
131	<a href="#">Procedures to enable continuation of critical business processes for protection of the security of electronic protected health information while operating in emergency mode are established (and implemented as needed) (R).</a>
133	<a href="#">An Applications and Data Criticality Analysis to assess the relative criticality of specific applications and data in support of other contingency plan components is performed (A).</a>
143	<a href="#">Physical safeguards to ensure Workstation Security for all workstations that access electronic protected health information, to restrict access to authorized users are implemented.</a>
144	<a href="#">Device and Media Control policies and procedures, which govern the receipt and removal of hardware and electronic media that contain electronic protected health information into and out of a facility, and the movement of these items within the facility, are implemented.</a>
157	<a href="#">Person or Entity Authentication procedures to verify that a person or entity seeking access to electronic protected health information is the one claimed are</a>

## Lead User Functions

# Answer Requirements (5 of 10)

4. Scroll down to the Requirement Task section
5. Select the link for the Task that you want to answer

Log Off	Menu	Back	Requirement Tasks	Help
HIPAA Rule		Security Standards		
Functional Area		Information Technology		
Project Category		VI: Security Management Process		
Requirement Question		107: A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.		
Regulatory Authority		A covered entity must implement Administrative Safeguards to protect the confidentiality, integrity, and availability of all electronic protected health information that the covered entity creates, receives, maintains, or transmits. The safeguards must protect against reasonably anticipated threats or hazards to the security and integrity of such information. They must also protect against any reasonably anticipated uses and disclosures of such information that are not permitted or required. The approach is flexible. In deciding which security measures to use, a covered entity must take into account a variety of factors, including size, complexity and capabilities of the covered entity, cost, technical infrastructure and capabilities, and probability and criticality of potential risks. [164.308 (a)(1)(i); in accordance with § 164.306(a)(b)] [For exact quotation of Regulatory Authority and the Rule, see <a href="http://aspe.hhs.gov/admsimp">http://aspe.hhs.gov/admsimp</a> ]		
Requirement Intro		Administrative safeguards are administrative actions, and policies and procedures, to manage the selection, development, implementation, and maintenance of security measures to protect electronic protected health information and to manage the conduct of the covered entity's workforce in relation to the protection of that information. An implementation requirement standard of the administrative safeguards includes a documented and well communicated Security Management Process is important as it enforces the formal analysis and assessment of risks as well as audits and sanctions. Being informed and prepared is critical for success. The security management process accomplishes this in an ever-changing security risk environment. Security standards establish a minimum level of security that covered entities must meet.		
A Requirement Note for the specific Requirement is missing. The Requirement will not be considered <u>compliant</u> or <u>complete</u> until all applicable tasks are <b>Complete</b> and a <b>Requirement Note</b> has been entered.				
Update			Assigned to : Megan McCarron	
ID	Status	Requirement Test	Applicability	
<input type="checkbox"/> All Complete / Not Complete		<input type="radio"/> Applicable <input type="radio"/> Not Applicable <input checked="" type="radio"/> All	<input checked="" type="checkbox"/> On / Off	
107.01	Not Answered	<a href="#">The administrative policies and procedures used to meet this requirement are documented.</a>	<input checked="" type="checkbox"/>	
107.02	Not Answered	<a href="#">The principle of least privilege is addressed. [OPTIONAL]</a>	<input checked="" type="checkbox"/>	
107.03	Not Answered	<a href="#">Separation of duties is addressed. [OPTIONAL]</a>	<input checked="" type="checkbox"/>	
107.04	Not Answered	<a href="#">The required qualifications for each security management role are included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>	



## Lead User Functions

# Answer Requirements: Task Notes (6 of 10)

6. Review the Regulatory Authority and Requirement Intro
7. Enter a Task Note
8. Click on the **Update** button

**HIPAA BASICS™**  
Please click on Add/Update to save changes...

**Log Off** **Menu** **Back** **Task Notes** **Help**

<b>HIPAA Rule</b>	Security Standards
<b>Functional Area</b>	Information Technology
<b>Project Category</b>	VI: Security Management Process
<b>Requirement Question</b>	107: A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.
<b>Regulatory Authority</b>	A covered entity must implement Administrative Safeguards to protect the confidentiality, integrity, and availability of all electronic protected health information that the covered entity creates, receives, maintains, or transmits. The safeguards must protect against reasonably anticipated threats or hazards to the security and integrity of such information. They must also protect against any reasonably anticipated uses and disclosures of such information that are not permitted or required. The approach is flexible. In deciding which security measures to use, a covered entity must take into account a variety of factors, including size, complexity and capabilities of the covered entity, cost, technical infrastructure and capabilities, and probability and criticality of potential risks. [164.308 (a)(1)(i); in accordance with § 164.306(a)(b)] [For exact quotation of Regulatory Authority and the Rule, see <a href="http://aspe.hhs.gov/admsimp">http://aspe.hhs.gov/admsimp</a> ]
<b>Requirement Intro</b>	Administrative safeguards are administrative actions, and policies and procedures, to manage the selection, development, implementation, and maintenance of security measures to protect electronic protected health information and to manage the conduct of the covered entity's workforce in relation to the protection of that information. An implementation requirement standard of the administrative safeguards includes a documented and well communicated Security Management Process is important as it enforces the formal analysis and assessment of risks as well as audits and sanctions. Being informed and prepared is critical for success. The security management process accomplishes this in an ever-changing security risk environment. Security standards establish a minimum level of security that covered entities must meet.

**TaskID** 107.01  
**Requirement Test** The administrative policies and procedures used to meet this requirement are documented  
**Task Notes** in compliance with DoD I 8500.2

**Update**



## Lead User Functions

# Answer Requirements (7 of 10)

9. Locate the Requirement Task that you completed
10. Select **Complete** from the Status drop down box
11. Click on the **Update** button to save your work

107.01	<div>Complete</div>	<a href="#">The administrative policies and procedures used to meet this requirement are documented.</a>	<input checked="" type="checkbox"/>
107.02	<div>Not Complete</div>	<a href="#">The principle of least privilege is addressed. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.03	<div>Complete</div>	<a href="#">Separation of duties is addressed. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.04	<div>Complete</div>	<a href="#">The required qualifications for each security management role are included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.05	<div>Complete</div>	<a href="#">An information security official role or equivalent is included.</a>	<input checked="" type="checkbox"/>
107.06	<div>Not Answered</div>	<a href="#">An internal auditor role or equivalent is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.07	<div>Not Answered</div>	<a href="#">A technical security management role is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.08	<div>Not Answered</div>	<a href="#">A personnel clearance framework is established or referenced.</a>	<input checked="" type="checkbox"/>
107.09	<div>Not Answered</div>	<a href="#">A physical security management role is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.10	<div>Not Answered</div>	<a href="#">A hierarchy of security management roles is specified. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.11	<div>Not Answered</div>	<a href="#">The procedures for nominating candidates to fill each role are outlined. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.12	<div>Not Answered</div>	<a href="#">The procedures for selecting a candidate for each defined security management role are outlined. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.13	<div>Not Answered</div>	<a href="#">The duration an individual is assigned to a given role is indicated. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.14	<div>Not Answered</div>	<a href="#">An administrative security management role is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.15	<div>Not Answered</div>	<a href="#">A description for each of security management team member's responsibilities and duties is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.16	<div>Not Answered</div>	<a href="#">A security management plan that addresses prevention, detection, containment, and correction of security violations is included.</a>	<input checked="" type="checkbox"/>
107.17	<div>Not Answered</div>	<a href="#">The security management plan includes all of the workforce, including those working from home.</a>	<input checked="" type="checkbox"/>
107.18	<div>Not Answered</div>	<a href="#">A compliance program is included in the security management plan.</a>	<input checked="" type="checkbox"/>
107.19	<div>Not Answered</div>	<a href="#">A training program is included in the security management plan.</a>	<input checked="" type="checkbox"/>
107.20	<div>Not Answered</div>	<a href="#">Processes to ensure reasonableness and appropriateness of security controls selected, considering risk analyses and factors specific to the organization (e.g., size, environment, operating changes, configuration) are included.</a>	<input checked="" type="checkbox"/>
<input type="checkbox"/> All Complete / Not Complete		<input type="radio"/> Applicable <input type="radio"/> Not Applicable <input checked="" type="radio"/> All	<input type="checkbox"/> On / Off
ID	Status	Requirement Test	Applicability
		<div>Update</div>	Assigned to : Megan McCarron

## Answer Requirements (8 of 10)

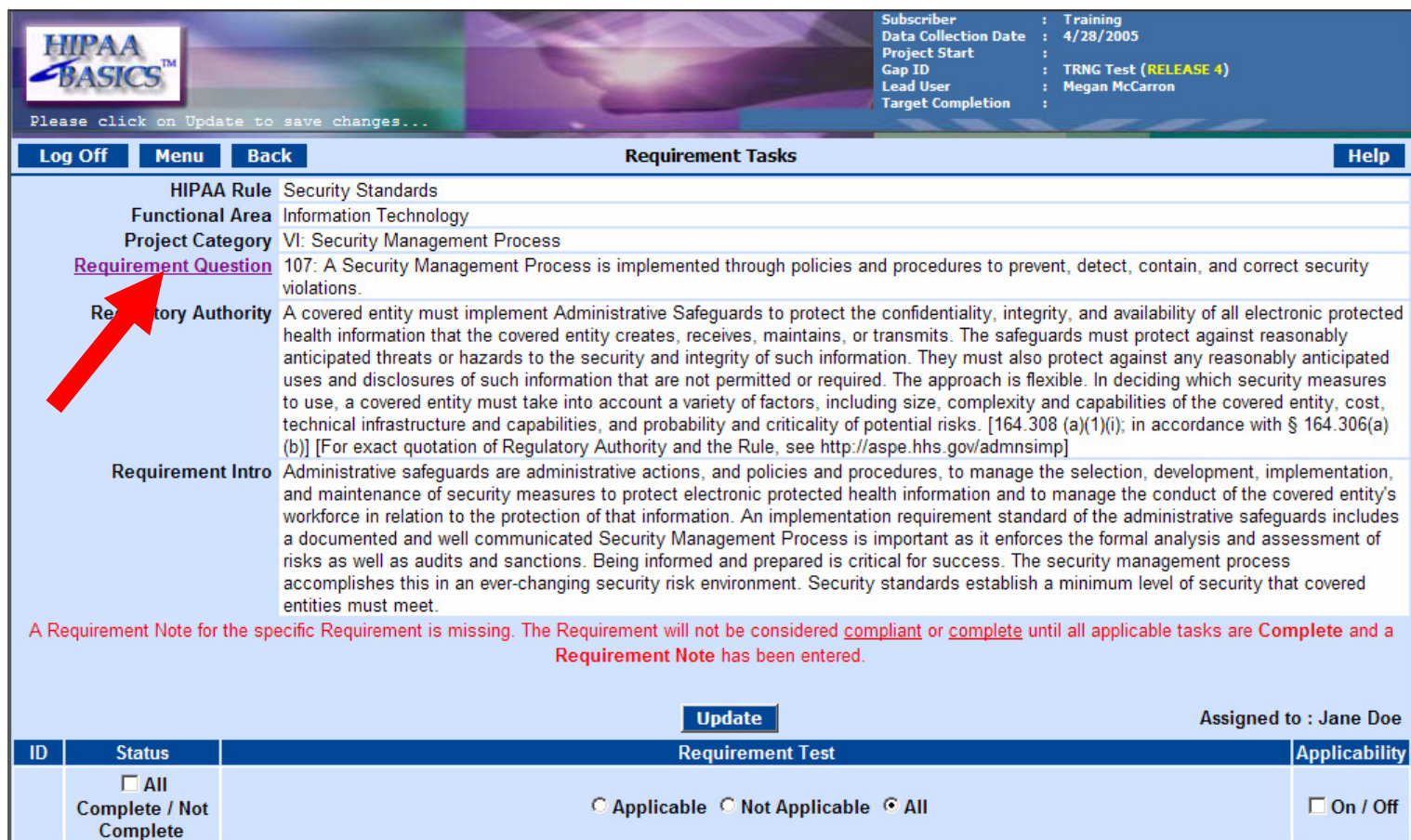
---

- Repeat the process of answering tasks related to a given requirement
- Once you have answered “Complete” for all related tasks, you will be compliant with that requirement

## Lead User Functions

# Answer Requirements: Requirement Notes (9 of 10)

12. Select the [Requirement Question](#) link to enter a Requirement note



**HIPAA BASICS™**

Please click on Update to save changes...

Subscriber : Training  
Data Collection Date : 4/28/2005  
Project Start :  
Gap ID : TRNG Test (RELEASE 4)  
Lead User : Megan McCarron  
Target Completion :

[Log Off](#) [Menu](#) [Back](#) **Requirement Tasks** [Help](#)

**HIPAA Rule** Security Standards  
**Functional Area** Information Technology  
**Project Category** VI: Security Management Process  
**[Requirement Question](#)** 107: A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.  
**Regulatory Authority** A covered entity must implement Administrative Safeguards to protect the confidentiality, integrity, and availability of all electronic protected health information that the covered entity creates, receives, maintains, or transmits. The safeguards must protect against reasonably anticipated threats or hazards to the security and integrity of such information. They must also protect against any reasonably anticipated uses and disclosures of such information that are not permitted or required. The approach is flexible. In deciding which security measures to use, a covered entity must take into account a variety of factors, including size, complexity and capabilities of the covered entity, cost, technical infrastructure and capabilities, and probability and criticality of potential risks. [164.308 (a)(1)(i); in accordance with § 164.306(a)(b)] [For exact quotation of Regulatory Authority and the Rule, see <http://aspe.hhs.gov/admsimp>]  
**Requirement Intro** Administrative safeguards are administrative actions, and policies and procedures, to manage the selection, development, implementation, and maintenance of security measures to protect electronic protected health information and to manage the conduct of the covered entity's workforce in relation to the protection of that information. An implementation requirement standard of the administrative safeguards includes a documented and well communicated Security Management Process is important as it enforces the formal analysis and assessment of risks as well as audits and sanctions. Being informed and prepared is critical for success. The security management process accomplishes this in an ever-changing security risk environment. Security standards establish a minimum level of security that covered entities must meet.

A Requirement Note for the specific Requirement is missing. The Requirement will not be considered compliant or complete until all applicable tasks are **Complete** and a **Requirement Note** has been entered.

[Update](#) Assigned to : Jane Doe

ID	Status	Requirement Test	Applicability
	<input type="checkbox"/> All Complete / Not Complete	<input type="radio"/> Applicable <input type="radio"/> Not Applicable <input checked="" type="radio"/> All	<input type="checkbox"/> On / Off

## Lead User Functions

# Answer Requirements: Requirement Notes (10 of 10)

13. Enter a Requirement note (mandatory)

14. Click on the **Update** button

The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo and a navigation bar containing buttons for Log Off, Menu, Back, Requirement Notes, and Help. Below the navigation bar, the main content area is divided into several sections. The 'Requirement Question' section contains the text: '107: A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.' The 'Regulatory Authority' section contains a detailed paragraph about administrative safeguards. The 'Requirement Intro' section contains another detailed paragraph about the importance of a security management process. At the bottom of the form, there is a text area labeled 'Requirement Notes' with the text 'Requirement compliant with policies and procedures.' and an 'Update' button. A red rectangle highlights the text area, and a red arrow points to the 'Update' button.

**HIPAA BASICS™**

Please click on Add/Update to save changes...

**Log Off** **Menu** **Back** **Requirement Notes** **Help**

**HIPAA Rule** Security Standards

**Functional Area** Information Technology

**Project Category** VI: Security Management Process

**Requirement Question** 107: A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.

**Regulatory Authority** A covered entity must implement Administrative Safeguards to protect the confidentiality, integrity, and availability of all electronic protected health information that the covered entity creates, receives, maintains, or transmits. The safeguards must protect against reasonably anticipated threats or hazards to the security and integrity of such information. They must also protect against any reasonably anticipated uses and disclosures of such information that are not permitted or required. The approach is flexible. In deciding which security measures to use, a covered entity must take into account a variety of factors, including size, complexity and capabilities of the covered entity, cost, technical infrastructure and capabilities, and probability and criticality of potential risks. [164.308 (a)(1)(i); in accordance with § 164.306(a)(b)] [For exact quotation of Regulatory Authority and the Rule, see <http://aspe.hhs.gov/admsimp>]

**Requirement Intro** Administrative safeguards are administrative actions, and policies and procedures, to manage the selection, development, implementation, and maintenance of security measures to protect electronic protected health information and to manage the conduct of the covered entity's workforce in relation to the protection of that information. An implementation requirement standard of the administrative safeguards includes a documented and well communicated Security Management Process is important as it enforces the formal analysis and assessment of risks as well as audits and sanctions. Being informed and prepared is critical for success. The security management process accomplishes this in an ever-changing security risk environment. Security standards establish a minimum level of security that covered entities must meet.

**Requirement Notes**

Requirement compliant with policies and procedures.

**Update**

## Lead User Functions

# Tagging Gaps for Reporting (1 of 2)

- Gap Analysis that will be included in rolled up reporting must be tagged by the Lead User
- A Gap Analysis must be assigned a HIPAA Rule before it can be tagged for reporting
- Only one Gap Analysis per HIPAA Rule can be tagged for reporting



The screenshot displays the HIPAA BASICS web application. At the top, there is a header with the HIPAA BASICS logo and a subscriber selection dropdown currently set to 'Training'. Below the header is a navigation bar with buttons for 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. On the left side, there is a sidebar menu with options: 'Users', 'Gap Analysis Project List' (selected), 'Policies & Forms', 'Add Gap', 'High Level Summary Report', and 'Detailed Report'. The main content area shows a table titled 'Baseline Administrative Simplification Integrated Compliance Solution'. The table has columns: Answer, Assign, Data Collection Date, Gap ID, Rel, Report Tag, Edit, Report, and Status. The 'Report Tag' column is highlighted with a red box. The table contains several rows of data, including training gaps and demo gaps.

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

## Lead User Functions

# Tagging Gaps for Reporting (2 of 2)

1. Select **Edit** from the Gap Analysis Project List screen
2. Check the box for Reporting Tag
3. Click **Update**

**HIPAA BASICS™**

Please click on Add/Update to save changes...

**Log Off** **Back** **Edit Gap Analysis** **Help**

Data Collection Date (mm/dd/yyyy) 4/28/2005

Target Completion (mm/dd/yyyy)

Project Start (mm/dd/yyyy)

Gap ID TRNG Test

Gap Active ☒

Date Completed (mm/dd/yyyy)

Notes for Client

Internal

HIPAA Rule  
Please select the HIPAA Rule this GAP is associated with. If this GAP is being used for training or testing purposes, and will not be used for rolled up reporting, please leave the selection blank.

Reporting Tag ☒

Security Standards

**Project Plan** **Project Plan XLS** **Reassign User Assignments** **Update**



## Lead User Functions

# Create Baseline

---

- Generate Output – Project Plan
  - Point in time to create your baseline assessment
- Communicate with Subscriber Administrator to copy Gap Analysis
- Remove the Tag from the Gap that is being copied
  - The new Gap will need to be Tagged once copy is made
- Establish mitigation team
  - Conduct mitigation of compliance assessment gaps
  - Assign requirements and answer those that are incomplete
- Make sure most up-to-date copy is tagged for reporting

## Lead User Functions

# Reassign User Assignments (1 of 4)

---

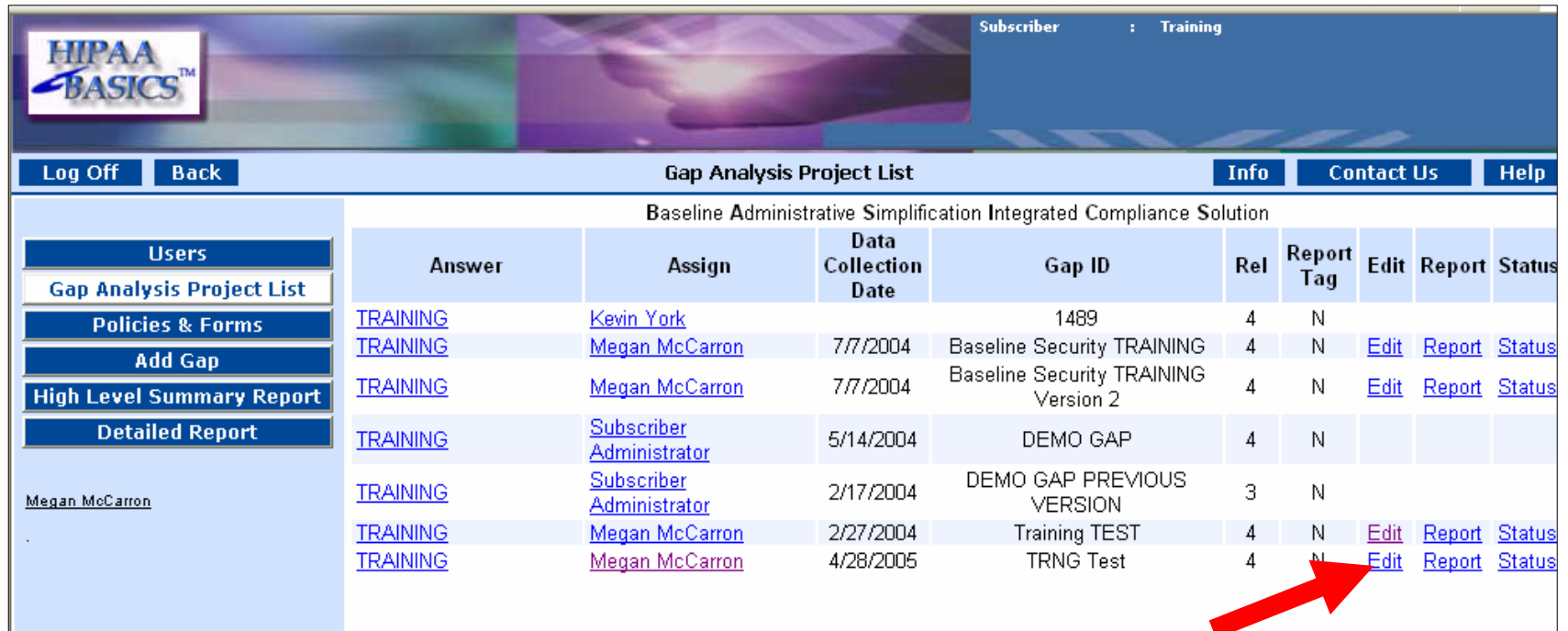
- Lead Users have the ability to reassign user assignments to other members of their team
- This would be done if a user was no longer going to participate in the assessment or is leaving the facility



## Lead User Functions

# Reassign User Assignments (2 of 4)

1. Select the [Edit](#) link from the Gap Analysis Project List



The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo and a subscriber selection dropdown currently set to 'Training'. Below the header is a navigation bar with links for 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The main content area is titled 'Baseline Administrative Simplification Integrated Compliance Solution' and contains a table with columns: Answer, Assign, Data Collection Date, Gap ID, Rel, Report Tag, Edit, Report, and Status. The table lists several training projects. A red arrow points to the 'Edit' link in the last row of the table, which is for a 'Training TEST' project.

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

## Lead User Functions

# Reassign User Assignments (3 of 4)

- Click on the **Reassign User Assignments** button

**HIPAA BASICS™**

Please click on Add/Update to save changes...

**Log Off** **Back** **Edit Gap Analysis** **Help**

Data Collection Date (mm/dd/yyyy) 4/28/2005

Target Completion (mm/dd/yyyy)

Project Start (mm/dd/yyyy)

Gap ID TRNG Test

Gap Active ☒

Date Completed (mm/dd/yyyy)

Notes for Client

Internal

HIPAA Rule  
Please select the HIPAA Rule this GAP is associated with. If this GAP is being used for training or testing purposes, and will not be used for rolled up reporting, please leave the selection blank.

Reporting Tag ☐

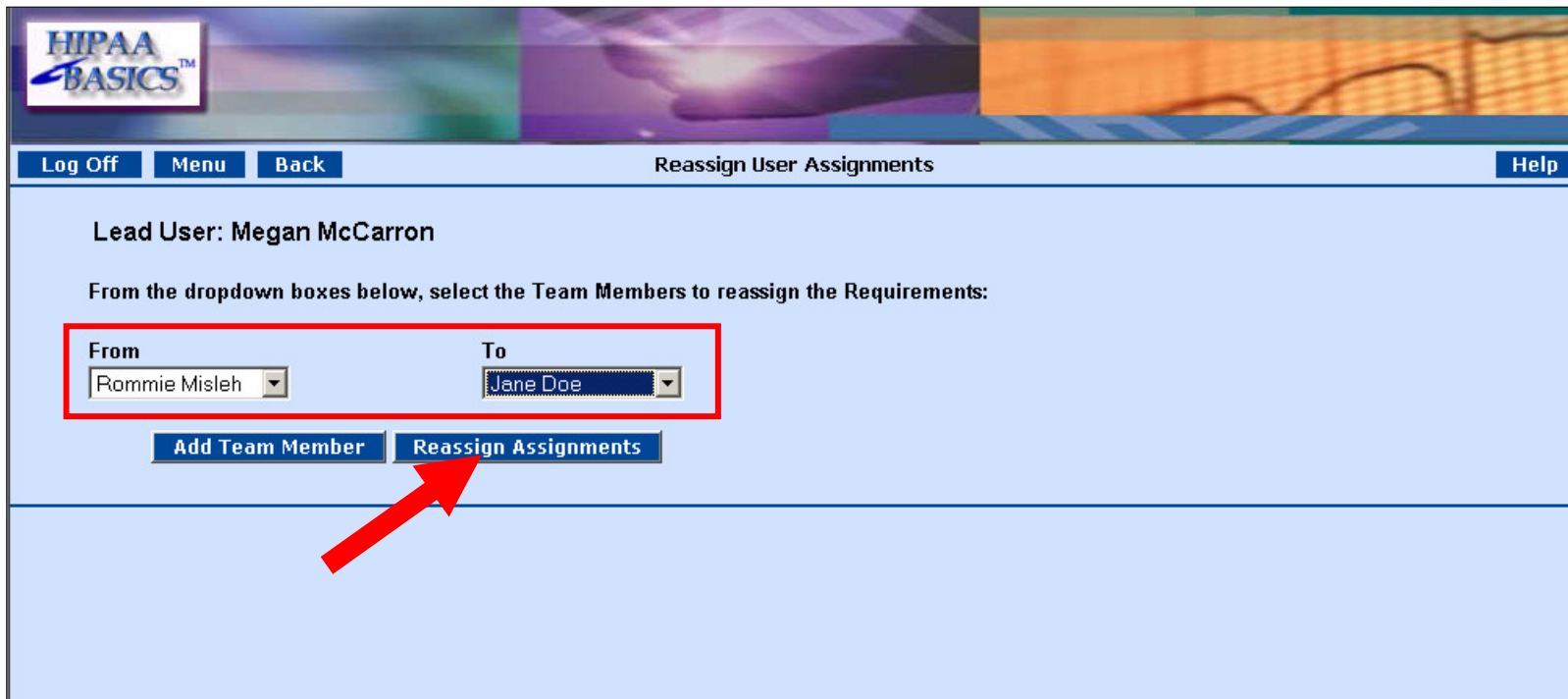
Security Standards

**Project Plan** **Project Plan XLS** **Reassign User Assignments** **Update**

## Lead User Functions

# Reassign User Assignments (4 of 4)

3. From the “From” and “To” drop down boxes, select the appropriate Team Members
4. Click on the **Reassign Assignments** button



The screenshot shows the 'Reassign User Assignments' interface. At the top left is the 'HIPAA BASICS™' logo. The navigation bar includes 'Log Off', 'Menu', 'Back', and 'Help' buttons. The main content area displays 'Lead User: Megan McCarron' and a prompt: 'From the dropdown boxes below, select the Team Members to reassign the Requirements:'. Below this prompt are two dropdown menus: 'From' (showing 'Rommie Misleh') and 'To' (showing 'Jane Doe'). These two dropdowns are enclosed in a red rectangular box. Below the dropdowns are two buttons: 'Add Team Member' and 'Reassign Assignments'. A red arrow points from the bottom towards the 'Reassign Assignments' button.

## Lead User Functions

# Remove Users from a Team (1 of 4)

---

- Once a user's assignments have been reassigned to another team member, the user can be removed from the team
- If their assignments have not been reassigned, all assignments will default to the Lead User of the assessment

## Lead User Functions

# Remove Users from a Team (2 of 4)

1. Select the [Assign](#) link for your Gap Analysis

The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo and a subscriber selection dropdown set to 'Training'. Below the header is a navigation bar with links for 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The main content area is titled 'Baseline Administrative Simplification Integrated Compliance Solution' and contains a table of gap analysis projects. The table has columns for 'Answer', 'Assign', 'Data Collection Date', 'Gap ID', 'Rel', 'Report Tag', 'Edit', 'Report', and 'Status'. A red arrow points to the 'Assign' link for the 'Megan McCarron' user in the 'Training' team.

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

## Lead User Functions

# Remove Users from a Team (3 of 4)

2. Click on the **Team Assigned** button

The screenshot shows the HIPAA BASICS application interface. At the top, there is a header bar with the HIPAA BASICS logo on the left and a status bar on the right containing the following information:

- Subscriber : Training
- Data Collection Date : 4/28/2005
- Project Start :
- Gap ID : TRNG Test (RELEASE 4)
- Lead User : Megan McCarron
- Target Completion :

Below the header bar, there is a navigation bar with buttons for Log Off, Menu, Assign Requirements, Team Assigned, and Help. A red arrow points to the Team Assigned button.

Below the navigation bar, there is a section for filtering requirements. It includes radio buttons for HIPAA Rule, Functional Area, and Category. The HIPAA Rule dropdown menu is set to Security Standards. There are also radio buttons for Part 1 and Part 2.

Below the filtering section, there is a table with the following columns: Req #, Requirement Question, Assigned to, Complete, Does Not Apply, Not Answered, Not Complete, and Total.

Req #	Requirement Question	Assigned to	Complete	Does Not Apply	Not Answered	Not Complete	Total
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.	Megan McCarron			20		20
108	A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of electronic PHI was conducted (R).	Megan McCarron			19		19
109	A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level is in place (R).	Megan McCarron			14		14
110	A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures has been developed (R).	Megan McCarron			7		7
111	Information System Activity Review procedures to regularly review records of system activity, such as audit logs, access reports, and security incident tracking reports, are implemented (R).	Megan McCarron			15		15
112	A Security Official who is responsible for the development and implementation of the policies and procedures required by the Rule has been identified.	Megan McCarron			11		11
113	Policies and procedures to ensure that all members of the workforce have appropriate access to electronic protected health information, and to prevent those workforce members who do not have access from obtaining access to electronic	Megan McCarron			18		18

## Lead User Functions

# Remove Users from a Team (4 of 4)

3. Check the “Delete” box for the team member that you want to delete
4. Click on the **Delete** button

**HIPAA BASICS™**  
Please click on Update to save changes...

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :

Log Off Menu Team Assigned Assign Requirement Help

Lead User: Megan McCarron

Check to Delete	Team Members
<input type="checkbox"/>	Alec Karry
<input type="checkbox"/>	Gail Brown
<input type="checkbox"/>	Jane Doe
<input type="checkbox"/>	Karla Cisneros
<input checked="" type="checkbox"/>	Megan McCarron
<input type="checkbox"/>	Rommie Misleh

Add Delete

## Lead User Functions

# Communication with Subscriber Administrator in Inactivating User

---

- Once a user has been removed from all involved teams and no longer needs access to HIPAA BASICS™, the Lead User must inform their Subscriber Administrator
- The Subscriber Administrator will then inactivate the user account following the provided guidelines
- The user will no longer be able to access the application
- Users cannot be deleted from the system



## Lead User Functions

# View User Assignments (1 of 3)

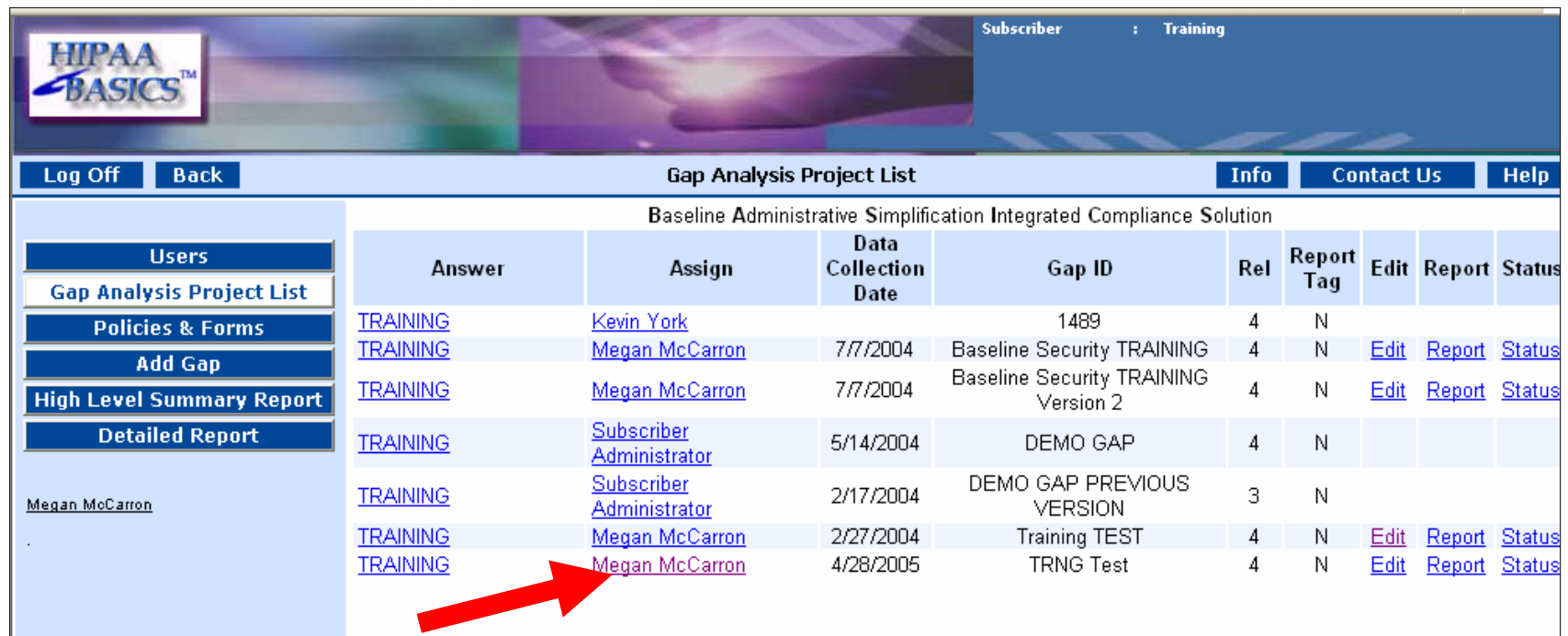
---

- You can view user assignments for any user within your Gap Analysis
- You can review the progress of a particular requirement or team member

## Lead User Functions

# View User Assignments (2 of 3)

1. Select the [Assign](#) link on the Gap Analysis Project List screen




The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo and a subscriber selection dropdown currently set to 'Training'. Below the header is a navigation bar with links for 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The main content area is titled 'Baseline Administrative Simplification Integrated Compliance Solution' and contains a table of project assignments. A left sidebar menu includes options for 'Users', 'Gap Analysis Project List', 'Policies & Forms', 'Add Gap', 'High Level Summary Report', and 'Detailed Report'. The 'Gap Analysis Project List' option is currently selected. The table has columns for 'Answer', 'Assign', 'Data Collection Date', 'Gap ID', 'Rel', 'Report Tag', 'Edit', 'Report', and 'Status'. A red arrow points to the 'Assign' column, specifically to the 'Megan McCarron' entry in the last row.

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

# Lead User Functions

## View User Assignments (3 of 3)

### 2. View progress of requirements



Please click on Update to save changes...

Subscriber : Training  
 Data Collection Date : 2/27/2004  
 Project Start :  
 Gap ID : Training TEST (RELEASE 3)  
 Lead User : Megan McCarron  
 Target Completion :

Log Off
Menu
Assign Requirements
Team Assigned
Help

☒ HIPAA Rule
 ☐ Functional Area
 ☐ Category

HIPAA Rule Security Standards

☒ Part 1
 ☐ Part 2

Req #	Requirement Question	Assigned to	Complete	Does Not Apply	Not Answered	Not Complete	Total
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.	Megan McCarron	5		15		20
108	A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of electronic PHI was conducted (R).	Jane Doe	19				19
109	A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level is in place (R).	Jane Doe	14				14
110	A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures has been developed (R).	Jane Doe			7		7
111	Information System Activity Review procedures to regularly review records of system activity, such as audit logs, access reports, and security incident tracking reports, are implemented (R).	Karla Cisneros			15		15
112	A Security Official who is responsible for the development and implementation of the policies and procedures required by the Rule has been identified.	Karla Cisneros	11				11
113	Policies and procedures to ensure that all members of the workforce have appropriate access to electronic protected health information, and to prevent those workforce members who do not have access from obtaining access to electronic protected health information are implemented.	Jane Doe	3		15		18
114	Procedures for the Authorization and/or Supervision of workforce members who work with electronic protected health information or in locations where it might be accessed have been implemented (A).	Jane Doe			9		9
115	Workforce Clearance Procedures to determine that the access of a workforce member to electronic protected health information is appropriate have been	Jane Doe			11		11

## Lead User Functions

# Edit Gap Analysis Details (1 of 3)

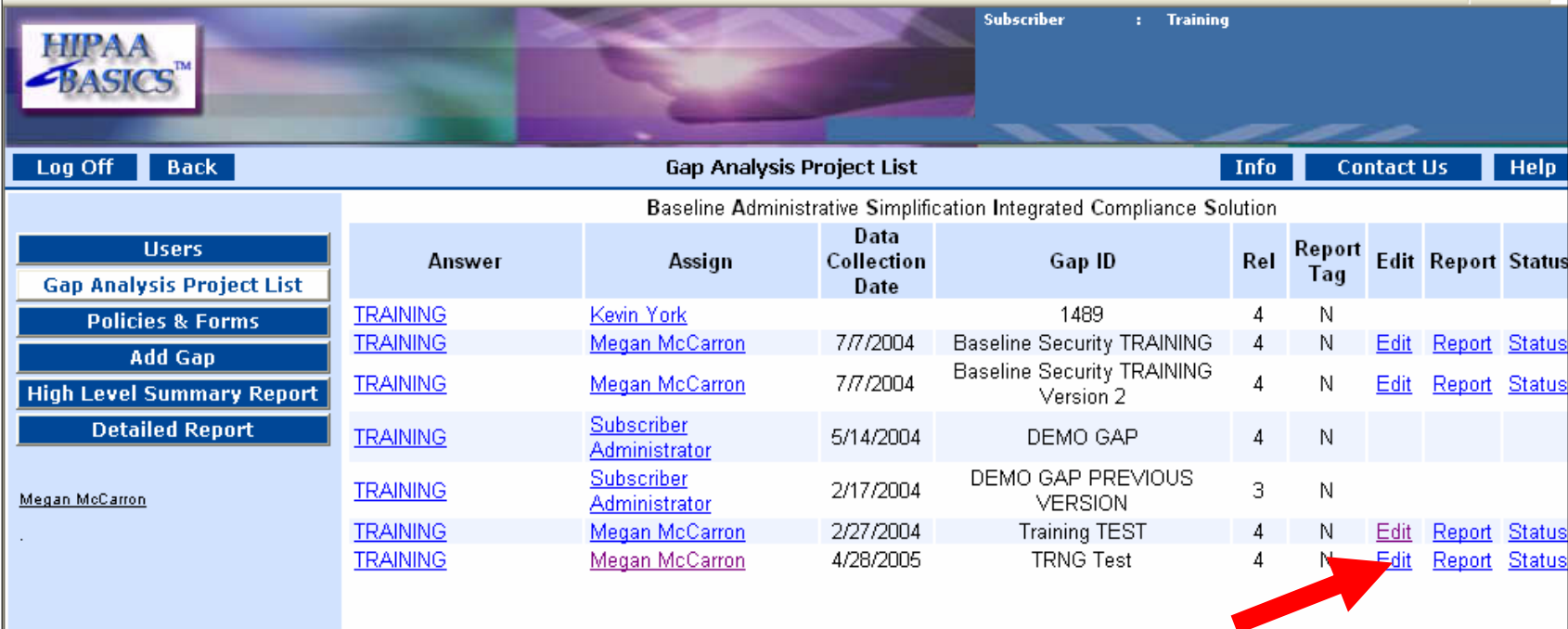
---

- The Lead User of a Gap Analysis can edit the details of any of their Gap Analyses
- Data that can be edited include:
  - Target completion date
  - Date completed
  - Client notes
  - Internal notes
  - Tag gaps for reporting

## Lead User Functions

# Edit Gap Analysis Details (2 of 3)

1. Select the [Edit](#) link from the Gap Analysis Project List screen



The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo and a subscriber selection dropdown set to 'Training'. Below the header is a navigation bar with links for 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The main content area is titled 'Baseline Administrative Simplification Integrated Compliance Solution' and contains a table of gap analysis projects. A left sidebar menu includes options like 'Users', 'Gap Analysis Project List', 'Policies & Forms', 'Add Gap', 'High Level Summary Report', and 'Detailed Report'. The user 'Megan McCarron' is logged in. A red arrow points to the 'Edit' link in the 'Edit' column for the 'Training TEST' project.

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

## Lead User Functions

# Edit Gap Analysis Details (3 of 3)

2. Edit appropriate Gap Analysis details
3. Click on the [Update](#) button

**HIPAA BASICS™**  
Please click on Add/Update to save changes...

[Log Off](#) [Back](#) **Edit Gap Analysis** [Help](#)

Data Collection Date (mm/dd/yyyy)	<input type="text" value="4/28/2005"/>
Target Completion (mm/dd/yyyy)	<input type="text"/>
Project Start (mm/dd/yyyy)	<input type="text"/>
Gap ID	<input type="text" value="TRNG Test"/>
Gap Active	<input checked="" type="checkbox"/>
Date Completed (mm/dd/yyyy)	<input type="text"/>
Notes for Client	<div><div></div><div></div></div>
Internal	<div><div></div><div></div></div>
HIPAA Rule	<input type="text" value="Security Standards"/>
Please select the HIPAA Rule this GAP is associated with. If this GAP is being used for training or testing purposes, and will not be used for rolled up reporting, please leave the selection blank.	
Reporting Tag	<input checked="" type="checkbox"/>

[Project Plan](#) [Project Plan XLS](#) [Reassign User Assignments](#) [Update](#)

## Lead User Functions

# Lead User Summary

---

- You should now be able to:
  - Obtain a Lead User account and login as a Lead User
  - Identify the links in the Gap Analysis Project list
  - Create a Gap Analysis
  - Assign members to your assessment team
  - Answer requirements
  - Tag Gaps for reporting
  - Create baseline assessment
  - Reassign user assignments
  - Remove and Inactivate team members
  - View user assignments
  - Edit Gap Analysis details

# **Compliance Assessment Outputs and Implementation**



# Compliance Assessment Outputs and Implementation Objectives

---

- Upon completion of this lesson, you will be able to:
  - Generate Compliance Assessment outputs, to include:
    - Gap Analysis Report
    - Graphical Status Report
    - High Level Summary Report
    - Detailed Requirement Report
    - Microsoft Excel and Project Plans
  - Access customizable Policies and Forms within HIPAA BASICS™

## Compliance Assessment Outputs and Implementation

# Gap Analysis Report

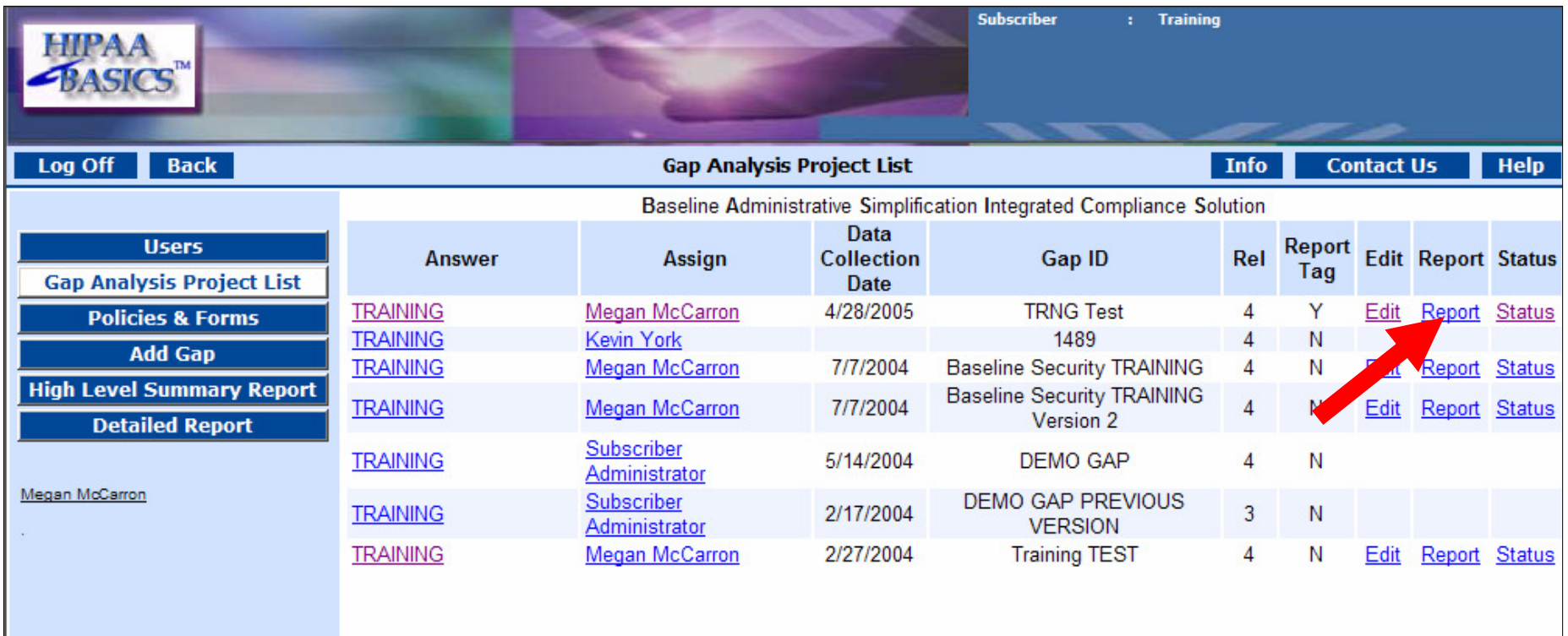
---

- The Gap Analysis report can be filtered by:
  - HIPAA Rule
  - Functional Area
  - Category
  - Requirements
  - Combinations
- You can alter the style of the report by excluding components of the report
  - Full detailed
  - Executive summary
- Output formats:
  - Report, Printable Report, or Printable Pdf

## Compliance Assessment Outputs and Implementation

# Generate Gap Analysis Report (1 of 3)

1. Select the [Report](#) link from the Gap Analysis Project List screen



The screenshot displays the HIPAA BASICS web application interface. At the top, the logo is on the left, and the subscriber name 'Training' is on the right. Below the header is a navigation bar with 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The main content area is titled 'Baseline Administrative Simplification Integrated Compliance Solution'. On the left is a sidebar with a 'Users' section containing links for 'Gap Analysis Project List', 'Policies & Forms', 'Add Gap', 'High Level Summary Report', and 'Detailed Report'. The main table lists gap analysis projects with columns for Answer, Assign, Data Collection Date, Gap ID, Rel, Report Tag, Edit, Report, and Status. A red arrow points to the 'Report' link in the second row of the table.

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	Y	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

## Compliance Assessment Outputs and Implementation

# Generate Gap Analysis Report (2 of 3)

2. Filter the report by HIPAA Rule, Functional Area, Category, Requirements, or Combinations
3. Make report style selections
4. Click on the **Report** button

The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header bar with the HIPAA BASICS logo on the left and a metadata section on the right containing the following information:

- Subscriber : Training
- Data Collection Date : 4/28/2005
- Project Start
- Gap ID : TRNG Test (RELEASE 4)
- Lead User : Megan McCarron
- Target Completion

Below the header is a navigation bar with buttons for Log Off, Menu, Back, Report, and Help. The main content area shows the Lead User as Megan McCarron. Under the filter section, the following options are available:

- ☒ HIPAA Rule
- ☐ Functional Area
- ☐ Category
- ☐ Requirements
- ☐ Combinations

A dropdown menu is open under the HIPAA Rule filter, showing the following options:

- Standards for Electronic Transactions and Code Sets
- Standard Unique Health Identifier for Health Care Providers
- Security Standards
- Standards for the Privacy of Individually Identifiable Health Information
- National Standard Employer Identifier
- National Standard Health Plan Identifier

Below the filter section, there is a table of report style selections, all of which are checked:

<input checked="" type="checkbox"/> Include Intro	<input checked="" type="checkbox"/> Include Authority	<input checked="" type="checkbox"/> Include Document Source	<input checked="" type="checkbox"/> Include Reg Req
<input checked="" type="checkbox"/> Include Req Test	<input checked="" type="checkbox"/> Include Category	<input checked="" type="checkbox"/> Include Requirement Note	<input checked="" type="checkbox"/> Include Task Note

At the bottom of the interface, there are three buttons: Report, Printable Report, and Printable ReportPdf. A red arrow points to the Report button.

---

Complete

## Compliance Assessment Outputs and Implementation

# Graphical Status Report



---

- Displays compliance in bar graph format and includes percentages by task
- Can be filtered by:
  - HIPAA Rule
  - Functional Area
  - Category
  - Requirements
  - All
- Graphical Status reports cannot be saved, but can be printed from your browser

## Compliance Assessment Outputs and Implementation

# Generate Graphical Status Report (1 of 3)

1. Select the [Status](#) link from the Gap Analysis Project List screen



Subscriber : Training

Log Off Back

Gap Analysis Project List

Info Contact Us Help

Baseline Administrative Simplification Integrated Compliance Solution

	Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>		<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	Y	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>		<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>		<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>		<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>		<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>		<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>		<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>



## Compliance Assessment Outputs and Implementation

# Generate Graphical Status Report (2 of 3)

2. Filter the report by HIPAA Rule, Functional Area, Category, Requirements, or All
3. Click on the **Report** button

**HIPAA BASICS™**

Subscriber	: Training
Data Collection Date	: 4/28/2005
Project Start	:
Gap ID	: TRNG Test ( <b>RELEASE 4</b> )
Lead User	: Megan McCarron
Target Completion	:

**Log Off** **Menu** **Back** **Status** **Help**

Lead User: Megan McCarron

☒ HIPAA Rule ☐ Functional Area ☐ Category ☐ Requirements ☐ All

- Standards for Electronic Transactions and Code Sets
- Standard Unique Health Identifier for Health Care Providers
- Security Standards
- Standards for the Privacy of Individually Identifiable Health Information
- National Standard Employer Identifier
- National Standard Health Plan Identifier

**Report**



## Compliance Assessment Outputs and Implementation

# Generate Graphical Status Report (3 of 3)

### HIPAA Gap Analysis Status Report

GAP ID: TRNG Test

Security Standards

Complete 151 (19%)

Not Complete 0 (0%)

Not Answered 652 (81%)

Total: 803 (100%)

## Compliance Assessment Outputs and Implementation

# High Level Summary (1 of 3)


---

- New report developed to facilitate overall reporting at each level of the organization
  - Reports by completion of tasks and requirements
- Shows an overview of HIPAA Compliance efforts
- Available in both graphical and table format
- Can be run by Subscriber Admins, Lead Users, and Report Admins
- Can only be generated for Gaps that have been assigned a HIPAA Rule and are tagged
- Report Admins are able to generate a rolled up report for all subordinates in their hierarchy

# Compliance Assessment Outputs and Implementation

## High Level Summary (2 of 3)

1. Click on the High Level Summary Report button



Subscriber : Training

Log Off
Back
Gap Analysis Project List
Info
Contact Us
Help

**Users**

Gap Analysis Project List

Policies & Forms

Add Gap

**High Level Summary Report**

Detailed Report

Megan McCarron

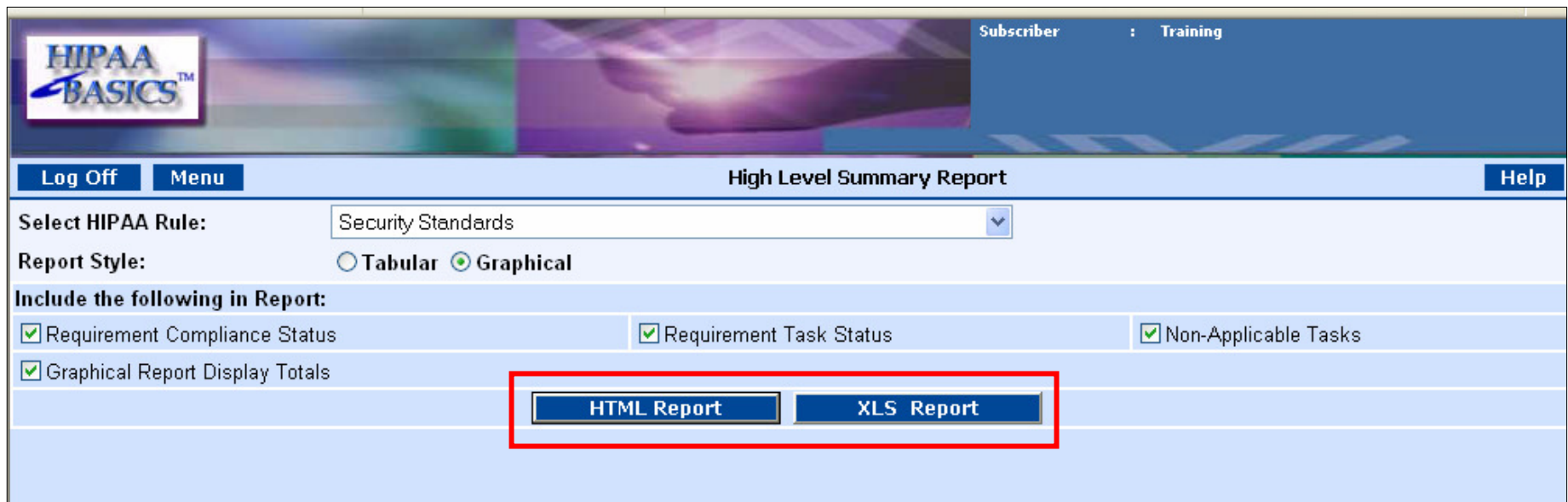
Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	Y	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

## Compliance Assessment Outputs and Implementation

# High Level Summary (3 of 3)

2. Select HIPAA Rule and Report Style
3. Click on [HTML Report](#) or [XLS Report](#)



The screenshot shows the 'High Level Summary Report' interface. At the top left is the 'HIPAA BASICS™' logo. The top right shows 'Subscriber : Training'. Below the header is a navigation bar with 'Log Off', 'Menu', 'High Level Summary Report', and 'Help'. The main form area includes a 'Select HIPAA Rule:' dropdown menu set to 'Security Standards'. Below this is the 'Report Style:' section with radio buttons for 'Tabular' and 'Graphical' (which is selected). The 'Include the following in Report:' section contains four checked checkboxes: 'Requirement Compliance Status', 'Requirement Task Status', 'Non-Applicable Tasks', and 'Graphical Report Display Totals'. At the bottom, two buttons are highlighted with a red rectangle: 'HTML Report' and 'XLS Report'.

**HIPAA BASICS™**

Subscriber : Training

Log Off Menu High Level Summary Report Help

Select HIPAA Rule: Security Standards

Report Style: ☐ Tabular ☒ Graphical

Include the following in Report:

☒ Requirement Compliance Status ☒ Requirement Task Status ☒ Non-Applicable Tasks

☒ Graphical Report Display Totals

[HTML Report](#) [XLS Report](#)

## Compliance Assessment Outputs and Implementation

# High Level Summary- Tabular Report

### High Level Summary Report

Organization Name and User	Report Date	HIPAA Rule
Training ( Megan McCarron)	5/25/2005	Security Standards

Gap ID: TRNG Test

Lead User: Megan McCarron

#### Summary Totals

	% Compliant	% Not Compliant	# Requirements	# Compliant	# Not Compliant		
Requirement Status	19.4	80.6	67	13	54		
	% Complete	% Not Complete	% Not Answered	# Tasks	# Complete	# Not Complete	# Not Answered
Requirement Task Status	18.8	0	81.2	803	151	0	652
	% Non Applicable		Total # Tasks		# Non Applicable		
Non-Applicable Task Status	9.67		889		86		

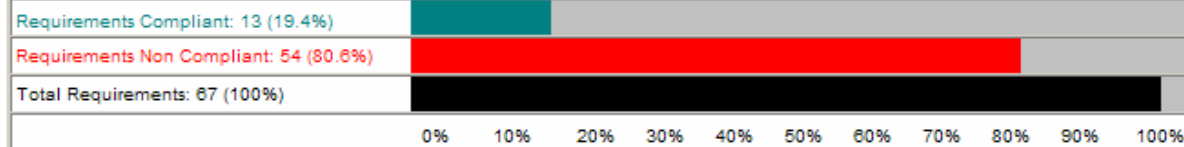
## Compliance Assessment Outputs and Implementation

# High Level Summary- Graphical Report

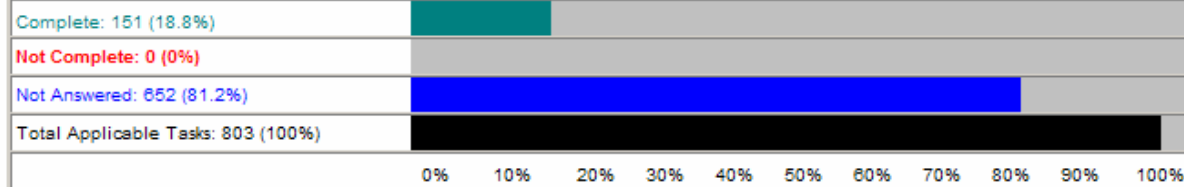
### High Level Graphical Report

Organization Name and User	Report Date	HIPAA Rule
Training (Megan McCarron)	5/25/2005	Security Standards

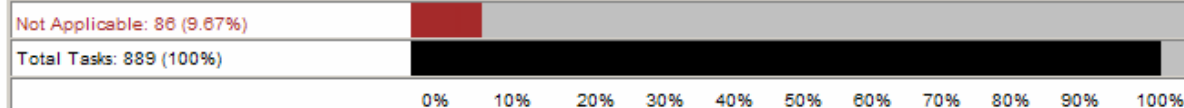
#### Requirement Status



#### Requirement Task Status



#### Not Applicable Task Status



## Compliance Assessment Outputs and Implementation

# Detailed Requirement Report (1 of 4)


---

- Newly developed to show detailed compliance efforts at each level of an organization
- Shows a breakdown of the level of compliance for all requirements and tasks
- Can only be generated for Gaps that have been assigned a HIPAA Rule and are tagged
- Can be run by Subscriber Admins, Lead Users, and Report Admins
- Report Admins are able to generate a rolled up report for all subordinates in their hierarchy
- Available in HMTL or Excel

# Compliance Assessment Outputs and Implementation

## Detailed Requirement Report (2 of 4)

1. Click on the Detailed Report button


Subscriber : Training

[Log Off](#)
[Back](#)

**Gap Analysis Project List**
[Info](#)
[Contact Us](#)
[Help](#)

Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	Y	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

**Users**

**Gap Analysis Project List**

**Policies & Forms**

**Add Gap**

**High Level Summary Report**

**Detailed Report**

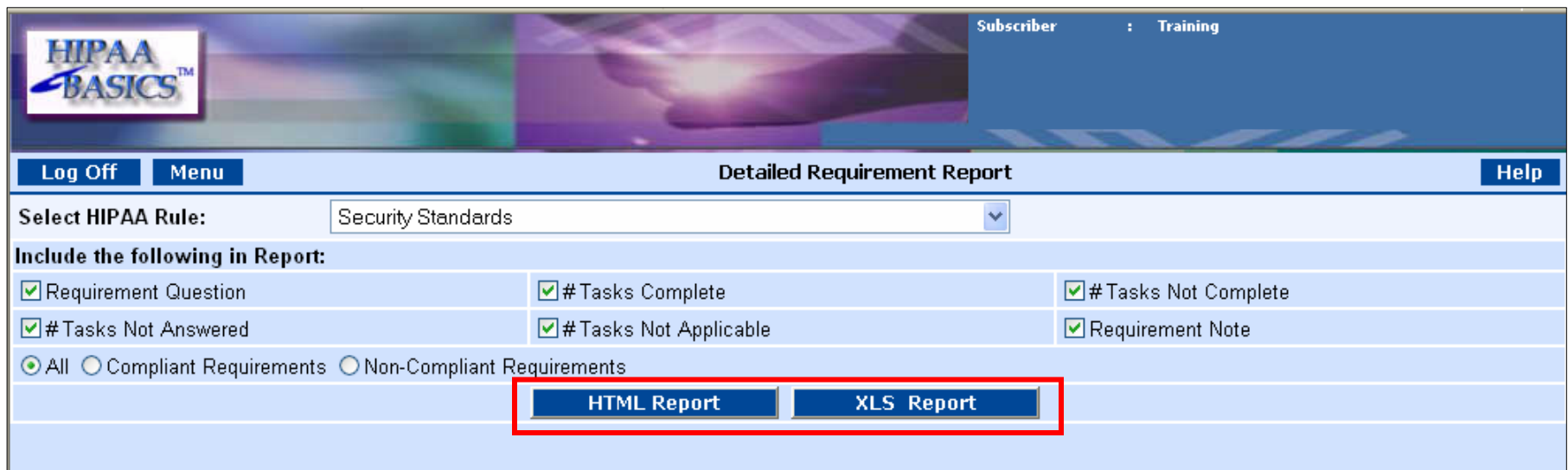
Megan McCarron



# Compliance Assessment Outputs and Implementation

## Detailed Requirement Report (3 of 4)

1. Select the HIPAA Rule and report style
2. Click on [HTML Report](#) or [XLS Report](#)



The screenshot shows the 'Detailed Requirement Report' interface of the HIPAA Basics application. At the top left is the 'HIPAA BASICS' logo. To the right, it says 'Subscriber : Training'. Below the header is a navigation bar with 'Log Off', 'Menu', 'Detailed Requirement Report', and 'Help' buttons. The main section is titled 'Select HIPAA Rule:' and has a dropdown menu set to 'Security Standards'. Below this is a section 'Include the following in Report:' with a grid of checkboxes. The first row contains 'Requirement Question', '# Tasks Complete', and '# Tasks Not Complete'. The second row contains '# Tasks Not Answered', '# Tasks Not Applicable', and 'Requirement Note'. All checkboxes are checked. Below the grid are three radio buttons: 'All' (selected), 'Compliant Requirements', and 'Non-Compliant Requirements'. At the bottom, there are two buttons: 'HTML Report' and 'XLS Report', both of which are highlighted with a red rectangular border.

**HIPAA BASICS™**

Subscriber : Training

[Log Off](#) [Menu](#) **Detailed Requirement Report** [Help](#)

Select HIPAA Rule: Security Standards

**Include the following in Report:**

<input checked="" type="checkbox"/> Requirement Question	<input checked="" type="checkbox"/> # Tasks Complete	<input checked="" type="checkbox"/> # Tasks Not Complete
<input checked="" type="checkbox"/> # Tasks Not Answered	<input checked="" type="checkbox"/> # Tasks Not Applicable	<input checked="" type="checkbox"/> Requirement Note

☒ All ☐ Compliant Requirements ☐ Non-Compliant Requirements

[HTML Report](#) [XLS Report](#)

# Compliance Assessment Outputs and Implementation

## Detailed Requirement Report (4 of 4)

Detailed Requirement Report									
Organization Name and User		Report Date		HIPAA Rule					
Training ( Megan McCarron)		5/25/2005		Security Standards					
Gap ID: TRNG Test									
Lead User: Megan McCarron									
Req#	Req Question	Tasks% Complete	#Tasks Complete	#Tasks Not Complete	#Tasks Not Answered	#Tasks Not Applicable	Total #Tasks	Req Note	Compliance
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.	100	20	0	0	0	20	N	N
108	A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of electronic PHI was conducted (R).	100	19	0	0	0	19	Y	Y
109	A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level is in place (R).	100	14	0	0	0	14	N	N
110	A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures has been developed (R).	100	7	0	0	0	7	Y	Y
111	Information System Activity Review procedures to regularly review records of system activity, such as audit logs, access reports, and security incident tracking reports, are implemented (R).	-	0	0	0	15	15	Y	Y
112	A Security Official who is responsible for the development and implementation of the policies and procedures required by the Rule has been identified.	100	5	0	0	6	11	N	N
113	Policies and procedures to ensure that all members of the workforce have appropriate access to electronic protected health information, and to prevent those workforce members who do not have access from obtaining access to electronic protected health information are implemented.	-	0	0	0	18	18	Y	Y
114	Procedures for the Authorization and/or Supervision of workforce members who work with electronic protected health information or in locations where it	-	0	0	0	9	9	Y	Y

## Compliance Assessment Outputs and Implementation

# Project Plans

---

- A Project Plan can be generated to help guide implementation efforts
- It is downloaded from HIPAA BASICS™ and contains all of the data entered by the users during an assessment
  - Average hours associated with each task
  - Adjustable timeline to map out projected completion
  - “Not Answered” items are converted to “Not Complete”
- A Project Plan can be downloaded as a Microsoft Project or Excel file
- Tasks to be accomplished are supported by Policies and Forms

# Compliance Assessment Outputs and Implementation

## Generate Project Plan (1 of 6)

1. Select the [Edit](#) link from the Gap Analysis Project List screen

Subscriber : Training

Log Off Back Gap Analysis Project List Info Contact Us Help

Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	Y	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

# Compliance Assessment Outputs and Implementation

## Generate Project Plan (2 of 6)

2. Click on the **Project Plan** or **Project Plan XLS** button

**HIPAA BASICS™**

Please click on Add/Update to save changes...

[Log Off](#) [Back](#) **Edit Gap Analysis** [Help](#)

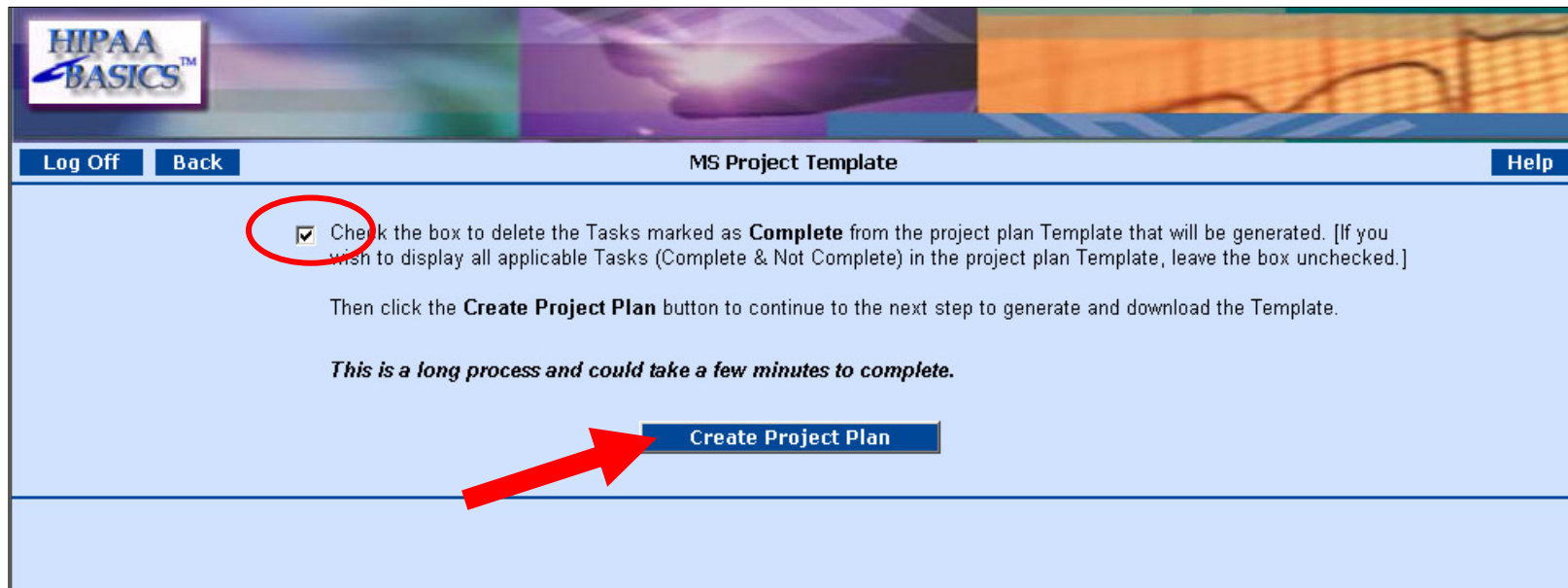
Data Collection Date (mm/dd/yyyy) 4/28/2005  
Target Completion (mm/dd/yyyy)   
Project Start (mm/dd/yyyy)   
Gap ID TRNG Test  
Gap Active ☒  
Date Completed (mm/dd/yyyy)   
Notes for Client   
  
Internal   
  
HIPAA Rule  
Please select the HIPAA Rule this GAP is associated with. If this GAP is being used for training or testing purposes, and will not be used for rolled up reporting, please leave the selection blank.  
**Reporting Tag**  
If Reporting Tag is ON HIPAA Rule cannot be changed.  
This GAP is Tagged for the selected HIPAA Rule ☒  
  
Security Standards ☒  
  
[Project Plan](#) [Project Plan XLS](#) [Reassign User Assignments](#) [Update](#)

## Compliance Assessment Outputs and Implementation

# Generate Project Plan (3 of 6)

---

3. Choose whether or not you want to include the tasks that are “Complete”
4. Click on the **Create Project Plan** button



**HIPAA BASICS™**

[Log Off](#) [Back](#) **MS Project Template** [Help](#)

☒ Check the box to delete the Tasks marked as **Complete** from the project plan Template that will be generated. [If you wish to display all applicable Tasks (Complete & Not Complete) in the project plan Template, leave the box unchecked.]

Then click the **Create Project Plan** button to continue to the next step to generate and download the Template.

*This is a long process and could take a few minutes to complete.*

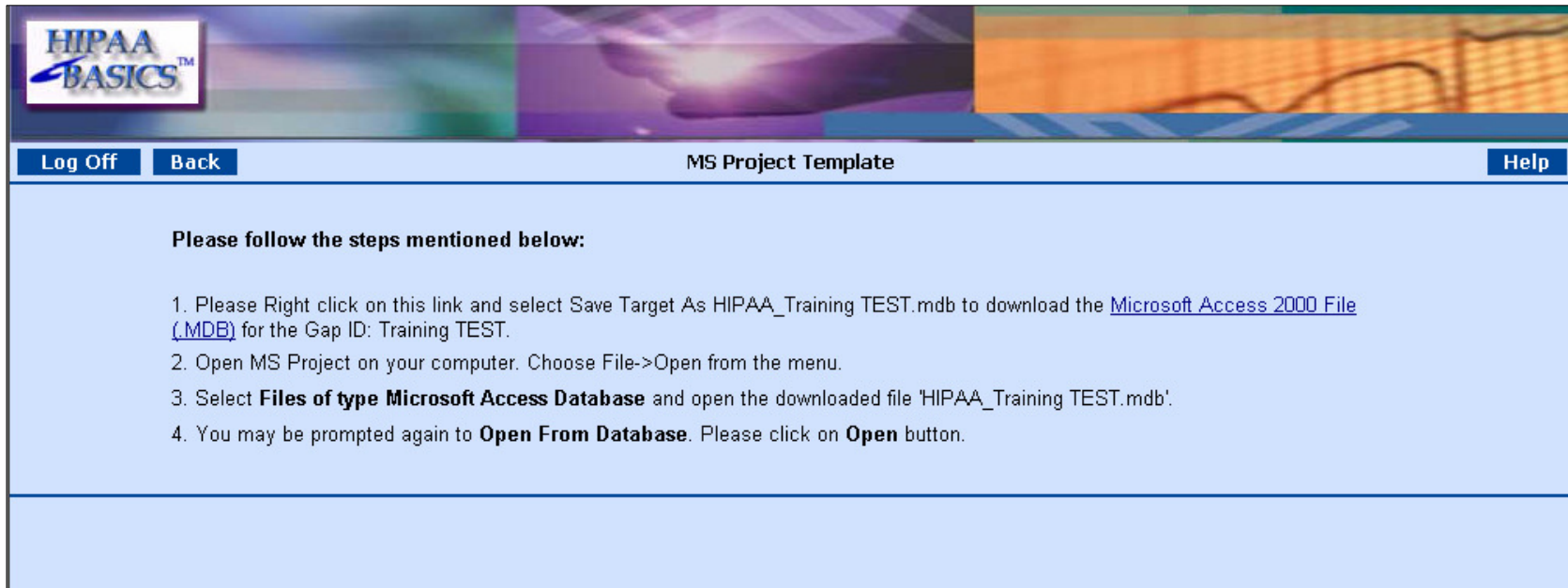
**Create Project Plan**

# Compliance Assessment Outputs and Implementation

## Generate Project Plan (4 of 6)

---

5. Follow the instructions for downloading the project plan



The screenshot shows a web application interface for "HIPAA BASICS™". At the top, there is a header bar with a logo on the left and a navigation bar with buttons for "Log Off", "Back", "MS Project Template", and "Help". Below the header, the main content area has a light blue background and contains the following text:

**Please follow the steps mentioned below:**

1. Please Right click on this link and select Save Target As HIPAA\_Training TEST.mdb to download the [Microsoft Access 2000 File \(.MDB\)](#) for the Gap ID: Training TEST.
2. Open MS Project on your computer. Choose File->Open from the menu.
3. Select **Files of type Microsoft Access Database** and open the downloaded file 'HIPAA\_Training TEST.mdb'.
4. You may be prompted again to **Open From Database**. Please click on **Open** button.



# Compliance Assessment Outputs and Implementation

## Generate Project Plan (5 of 6)

### 6. Your Project Plan will display (Microsoft Project)

Microsoft Project - TRNG Test

Type a question for help

File Edit View Insert Format Tools Project Collaborate Window Help

No Group

Tasks Resources Track Report

138.10 Include the principle of least privilege. [OPTIONAL]

Rule	Task Name	Duration	Start	Finish	Predecessors	Resource Names
1	VII Facility Access and Workstation	0.75 days	Wed 5/25/05	Thu 5/26/05		
2	Security 137 Implement Facility Access Control policies and procedures to limit physic	0.38 days	Wed 5/25/05	Wed 5/25/05		Information Technr
3	137.01 Document the administrative policies and procedures used to meet this require	3 hrs	Wed 5/25/05	Wed 5/25/05		
4	137.02 Include the roles and/or names of persons responsible for reviewing and upd	3 hrs	Wed 5/25/05	Wed 5/25/05		
5	137.03 Ensure the current facility access controls reflect the findings of the latest ris	3 hrs	Wed 5/25/05	Wed 5/25/05		
6	137.04 Include the frequency of review of physical safeguards. [OPTIONAL]	1 hr	Wed 5/25/05	Wed 5/25/05		
7	137.05 Include training requirements.	3 hrs	Wed 5/25/05	Wed 5/25/05		
8	137.06 Implement policies and procedures to limit physical access to electronic inform	3 hrs	Wed 5/25/05	Wed 5/25/05		
9	137.07 Consider employee feedback regarding accessibility.	3 hrs	Wed 5/25/05	Wed 5/25/05		
10	137.08 Ensure physical controls enforce access permissions specific to individuals.	3 hrs	Wed 5/25/05	Wed 5/25/05		
11	137.09 Include physical safeguards to be employed (examples, however not require	3 hrs	Wed 5/25/05	Wed 5/25/05		
12	137.10 Include location considerations to prevent unauthorized viewing.	3 hrs	Wed 5/25/05	Wed 5/25/05		
13	137.11 Reflect business associate contracts and other arrangements as necessary.	3 hrs	Wed 5/25/05	Wed 5/25/05		
14	137.12 Include the principle of least privilege. [OPTIONAL]	1 hr	Wed 5/25/05	Wed 5/25/05		
15	137.13 Include the principle of separation of duties. [OPTIONAL]	1 hr	Wed 5/25/05	Wed 5/25/05		
16	137.14 Include the principle of need-to-know. [OPTIONAL]	1 hr	Wed 5/25/05	Wed 5/25/05		
17	Security 138 Establish Contingency Operations (and implement as needed) procedures	0.38 days	Wed 5/25/05	Wed 5/25/05		Information Technr
18	138.01 Document the administrative policies and procedures used to meet this require	3 hrs	Wed 5/25/05	Wed 5/25/05		
19	138.02 Document the decision and reasons including risk and cost analysis why the	3 hrs	Wed 5/25/05	Wed 5/25/05		
20	138.03 Establish (and implement as needed) procedures that allow facility access in	3 hrs	Wed 5/25/05	Wed 5/25/05		
21	138.04 Include a process for regularly updating the plan.	1 hr	Wed 5/25/05	Wed 5/25/05		
22	138.05 Include the roles and/or persons responsible for updating the plan.	3 hrs	Wed 5/25/05	Wed 5/25/05		
23	138.06 Ensure the plan reflects the latest risk analyses and any associated remediati	3 hrs	Wed 5/25/05	Wed 5/25/05		
24	138.07 Include interim processing arrangements.	3 hrs	Wed 5/25/05	Wed 5/25/05		
25	138.08 Include interim communications arrangements.	3 hrs	Wed 5/25/05	Wed 5/25/05		
26	138.09 Include a means for testing the plan.	3 hrs	Wed 5/25/05	Wed 5/25/05		
27	138.10 Include the principle of least privilege. [OPTIONAL]	1 hr	Wed 5/25/05	Wed 5/25/05		
28	138.11 Include the principle of separation of duties. [OPTIONAL]	1 hr	Wed 5/25/05	Wed 5/25/05		
29	138.12 Include the principle of need-to-know. [OPTIONAL]	1 hr	Wed 5/25/05	Wed 5/25/05		



# Compliance Assessment Outputs and Implementation

## Generate Project Plan (6 of 6)

### 7. Your Project Plan will display (Microsoft Excel)

	A	B	C	D	E	F	G
	Rule	Project Category/Requirement/Task	Duration	Functional Area	Status	Regulatory Authority	Requirement Note/Task Note
1							
2		VII Facility Access and Workstation					
3	Security Standards	137 Implement Facility Access Control policies and procedures to limit physical access to its electronic information systems and the facility or facilities in which they are housed, while ensuring that properly authorized access is allowed.		Information Technology		Implement policies and procedures to limit physical access to its electronic information systems and the facility or facilities in which they are housed, while ensuring that properly authorized access is allowed. [§164.310(a)(1); in accordance with § 164.306] [For exact quotation of Regulatory Authority and the Rule, see <a href="http://aspe.hhs.gov/admsimp">http://aspe.hhs.gov/admsimp</a> ]	
4		policies and procedures used to meet this requirement.	3 h		Not Answered		
5		137.02 Include the roles and/or names of persons responsible for reviewing and updating facility access controls.	3 h		Not Answered		
6		137.03 Ensure the current facility access controls reflect the findings of the latest risk analysis.	3 h		Not Answered		
7		137.04 Include the frequency of review of physical safeguards. [OPTIONAL]	1 h		Not Answered		
8		137.05 Include training requirements.	3 h		Not Answered		
9		to limit physical access to electronic information systems with electronic PHI and the facility or facilities that house them, while ensuring properly authorized access is allowed.	3 h		Not Answered		
10		137.07 Consider employee feedback regarding accessibility.	3 h		Not Answered		
11		137.08 Ensure physical controls enforce access permissions specific to individuals.	3 h		Not Answered		
		137.09 Include physical safeguards to be employed (examples, however not required, are locks, badges, tokens,					
Gap ID - TRNG Test Copyright Disclaimer							

## Compliance Assessment Outputs and Implementation

# Customizable Policies and Forms

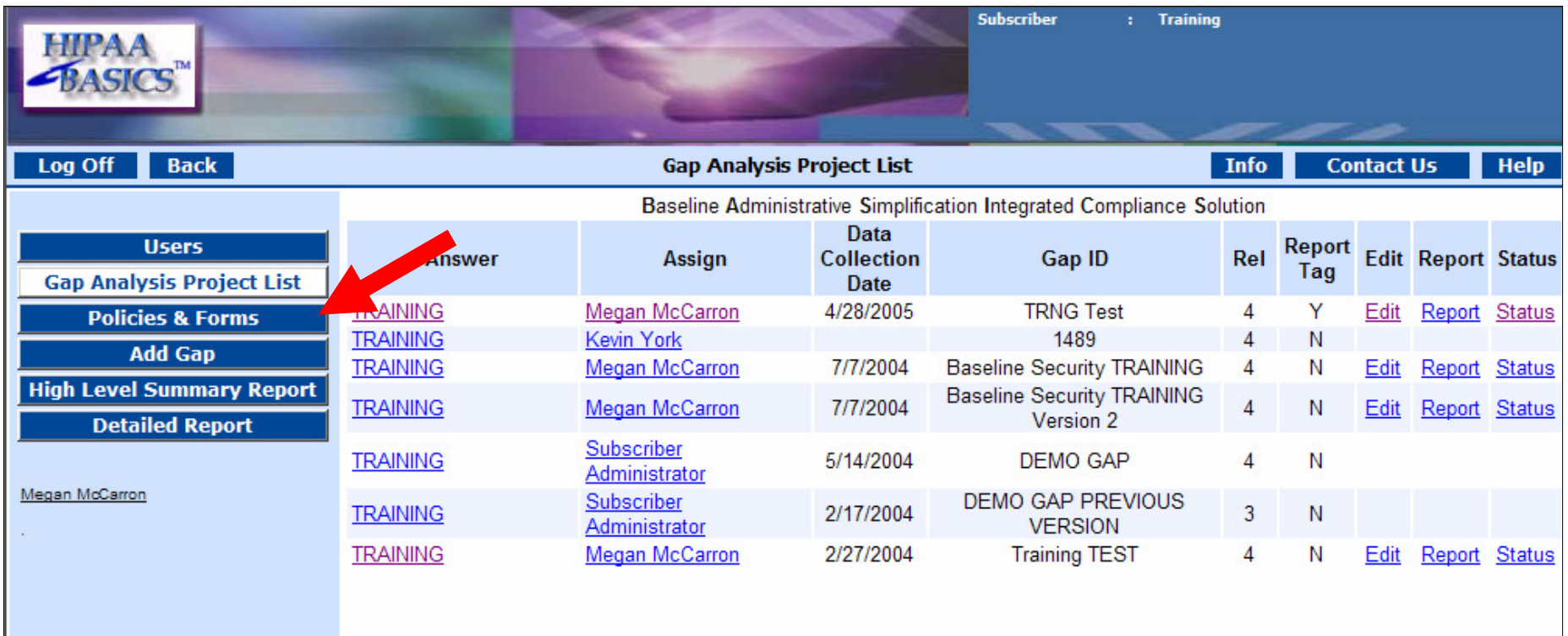
---

- HIPAA BASICS™ contains generalized examples of policies and forms for each requirement that can be tailored to help your MTF meet HIPAA standards
- Policies and Forms include:
  - Optional procedures
  - Regulatory authority
  - Background sections to understand the basis of the policy
- Subscriber Administrators and Lead Users can access the Policies and Forms module from the main screen

# Compliance Assessment Outputs and Implementation

## Accessing Policies and Forms (1 of 2)

1. Click on the **Policies & Forms** button on the left side of the screen



Subscriber : Training

Log Off Back Gap Analysis Project List Info Contact Us Help

Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assign	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	4/28/2005	TRNG Test	4	Y	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Kevin York</a>		1489	4	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	7/7/2004	Baseline Security TRAINING Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

Megan McCarron

# Compliance Assessment Outputs and Implementation

## Accessing Policies and Forms (2 of 2)

- Sort by HIPAA Rule or Category
- A list of Policies and Forms will display



Subscriber : Training

Log Off Back Policies and Forms Help

Baseline Administrative Simplification Integrated Compliance Solution

☒ HIPAARule ☐ Category

Security Standards

Standards for Electronic Transactions and Code Sets

Standard Unique Health Identifier for Health Care Providers

Security Standards

Standards for the Privacy of Individually Identifiable Health Information

National Standard Employer Identifier

National Standard Health Plan Identifier

Description	PDF	Text	Requirement
Business Associates	<a href="#">P-041-04.pdf</a>	<a href="#">P-041-04.txt</a>	161
Access	<a href="#">S-001-04.pdf</a>	<a href="#">S-001-04.txt</a>	149 , 150 , 151 , 152 , 153
Controls -Tech Safeguards			154
Audit Controls	<a href="#">S-002-04.pdf</a>	<a href="#">S-002-04.txt</a>	154
Business Associate Addendum	<a href="#">S-003-04.pdf</a>	<a href="#">S-003-04.txt</a>	161 , 162 , 163
Business Associate Agreement	<a href="#">S-004-04.pdf</a>	<a href="#">S-004-04.txt</a>	161 , 162 , 163
Contingency Plan	<a href="#">S-005-04.pdf</a>	<a href="#">S-005-04.txt</a>	128 , 129 , 130 , 131 , 132 , 133
Data Authentication	<a href="#">S-006-04.pdf</a>	<a href="#">S-006-04.txt</a>	155 , 156
Device and Media Controls	<a href="#">S-007-04.pdf</a>	<a href="#">S-007-04.txt</a>	144 , 145 , 146 , 147 , 148

# Compliance Assessment Outputs and Implementation

## Output Summary

---

- You should now be able to:
  - Generate Assessment outputs, to include:
    - Gap Analysis Report
    - Graphical Status Report
    - High Level Summary Report
    - Detailed Requirement Report
    - Microsoft Excel and Project Plans
  - Access customizable Policies and Forms within HIPAA BASICS™

# **Report Admin Interface**

## Report Admin Interface

# Objectives

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- Upon completion of this lesson, you will be able to:
  - Identify functionality of Report Admins at each level
  - Describe the Report Admin interface
  - Generate High Level and Detailed Requirement Reports

## Report Admin Interface

# Chart of Report Admin Functionality

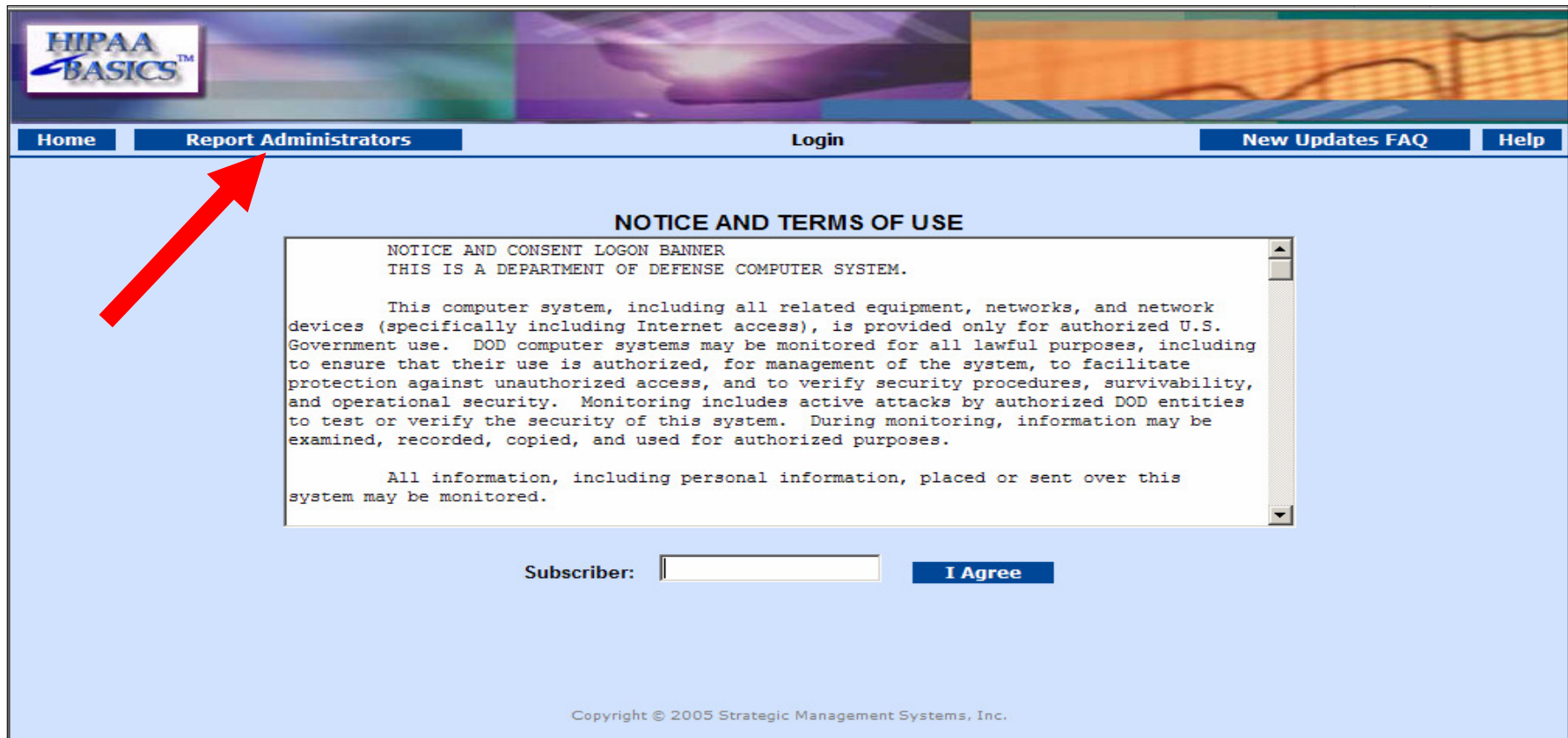
<u>Function</u>	<u>Level 0</u>	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>
High Level Summary	x	x	x	x
Detailed Requirement Report			x	x
View RA profiles on same level	x	x	x	x
Update subordinate RA profiles	x	x	x	x
View filtered Subscription lists		x	x	x
Sub Admin Subscription login			x	x



## Report Admin Interface

# Report Admin Login (1 of 3)

1. Enter URL: [hipaacompliance.tricare.osd.mil](http://hipaacompliance.tricare.osd.mil)
2. Click on Report Administrators button



The screenshot shows the HIPAA Basics website interface. At the top left is the 'HIPAA BASICS' logo. Below it is a navigation bar with buttons for 'Home', 'Report Administrators', 'Login', 'New Updates FAQ', and 'Help'. A red arrow points to the 'Report Administrators' button. The main content area displays a 'NOTICE AND TERMS OF USE' banner. The banner text reads: 'NOTICE AND CONSENT LOGON BANNER THIS IS A DEPARTMENT OF DEFENSE COMPUTER SYSTEM. This computer system, including all related equipment, networks, and network devices (specifically including Internet access), is provided only for authorized U.S. Government use. DOD computer systems may be monitored for all lawful purposes, including to ensure that their use is authorized, for management of the system, to facilitate protection against unauthorized access, and to verify security procedures, survivability, and operational security. Monitoring includes active attacks by authorized DOD entities to test or verify the security of this system. During monitoring, information may be examined, recorded, copied, and used for authorized purposes. All information, including personal information, placed or sent over this system may be monitored.' Below the banner is a 'Subscriber:' label followed by a text input field and an 'I Agree' button. At the bottom of the page, the copyright notice 'Copyright © 2005 Strategic Management Systems, Inc.' is visible.

**HIPAA BASICS™**

Home Report Administrators Login New Updates FAQ Help

**NOTICE AND TERMS OF USE**

NOTICE AND CONSENT LOGON BANNER  
THIS IS A DEPARTMENT OF DEFENSE COMPUTER SYSTEM.

This computer system, including all related equipment, networks, and network devices (specifically including Internet access), is provided only for authorized U.S. Government use. DOD computer systems may be monitored for all lawful purposes, including to ensure that their use is authorized, for management of the system, to facilitate protection against unauthorized access, and to verify security procedures, survivability, and operational security. Monitoring includes active attacks by authorized DOD entities to test or verify the security of this system. During monitoring, information may be examined, recorded, copied, and used for authorized purposes.

All information, including personal information, placed or sent over this system may be monitored.

Subscriber:  **I Agree**

Copyright © 2005 Strategic Management Systems, Inc.

## Report Admin Interface

# Report Admin Login (2 of 3)

3. Enter Organization
4. Click on **I Agree**



The screenshot displays the 'Report Admin Login' interface. At the top left is the 'HIPAA BASICS™' logo. The navigation bar includes 'Home', 'Report Login', and 'Help'. A central dialog box titled 'NOTICE AND TERMS OF USE' contains the following text:

NOTICE AND CONSENT LOGON BANNER  
THIS IS A DEPARTMENT OF DEFENSE COMPUTER SYSTEM.

This computer system, including all related equipment, networks, and network devices (specifically including Internet access), is provided only for authorized U.S. Government use. DOD computer systems may be monitored for all lawful purposes, including to ensure that their use is authorized, for management of the system, to facilitate protection against unauthorized access, and to verify security procedures, survivability, and operational security. Monitoring includes active attacks by authorized DOD entities to test or verify the security of this system. During monitoring, information may be examined, recorded, copied, and used for authorized purposes.

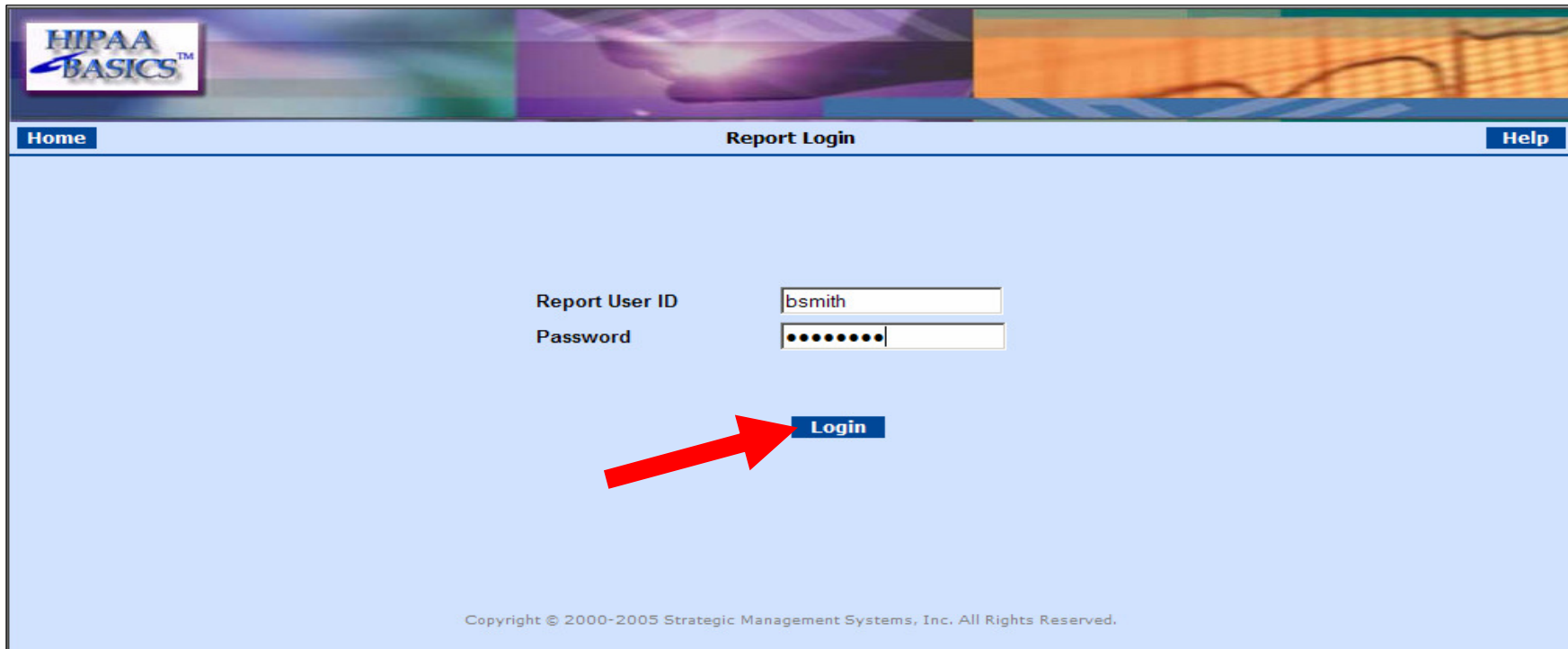
All information, including personal information, placed or sent over this system may be monitored.

Below the dialog box, the 'Organization:' label is followed by a text input field containing 'Region A'. To the right of the input field is a blue button labeled 'I Agree'. A red arrow points from the bottom right towards the 'I Agree' button.

## Report Admin Interface

# Report Admin Login (3 of 3)

5. Enter Report User ID and Password
6. Click on [Login](#)



The screenshot shows the 'Report Admin Login' interface. At the top left is the 'HIPAA BASICS' logo. The navigation bar includes 'Home', 'Report Login', and 'Help'. The main content area has two input fields: 'Report User ID' with the text 'bsmith' and 'Password' with masked characters. A red arrow points to the 'Login' button. The footer contains the copyright notice: 'Copyright © 2000-2005 Strategic Management Systems, Inc. All Rights Reserved.'

## Report Admin Interface

# Report Admin Menu

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# Report Admin Menu

---

- High Level Summary Report
  - Generate high level summary report for any subscription within their hierarchy
- Detailed Requirement Report
  - Generate detailed requirement report for any subscription within their hierarchy
- Subscriber List
  - View list of Subscriptions within the hierarchy
- Report Users
  - View and update Report Admin profiles within the hierarchy

## Report Admin Interface

# High Level Summary Report (1 of 3)

1. Click on the **High Level Summary Report** button from the main screen
2. Click on **List Sub-Groups** button

The screenshot shows the 'High Level Summary Report' interface. At the top left is the 'HIPAA BASICS' logo. To the right, it displays 'Organization : Region A' and 'User : Bob Smith'. Below this is a navigation bar with 'Log Off', 'Menu', and 'Help' buttons. The main title 'High Level Summary Report' is centered. Below the title, a text box instructs: 'Select report options and click "HTML Report" or "XLS Report" to build a report. Click "List Sub-Groups >>" to view or build a report based on the selected subordinate organizations.' A red arrow points to the 'List Sub-Groups >>' button. Below this, the 'Include the following in Report:' section contains a 'Select HIPAA Rule:' dropdown menu (set to 'Standards for Electronic Transactions and Code Sets'), a 'Report Style:' section with radio buttons for 'Tabular' (selected) and 'Graphical', and three checkboxes: 'Requirement Compliance Status' (checked), 'Requirement Task Status' (checked), and 'Non-Applicable Tasks' (unchecked). At the bottom, there are buttons for 'HTML Report' and 'XLS Report', and a checkbox for 'Graphical Report Display Totals'.

## Report Admin Interface

# High Level Summary Report (2 of 3)

- Select the [Organization](#) link to drill down within your hierarchy
3. Select reporting organizations

Log Off		Menu		High Level Summary Report		Help	
<< Hide Sub-Groups							
Sub-Groups							
Select	Organization						
<input checked="" type="checkbox"/>	<a href="#">MTF A</a>						
<input checked="" type="checkbox"/>	<a href="#">MTF B</a>						
<input type="checkbox"/>	<a href="#">MTF C</a>						
Include the following in Report:							
Select HIPAA Rule:	<div>Standards for Electronic Transactions and Code Sets</div>						
Report Style:	<input checked="" type="radio"/> Tabular <input type="radio"/> Graphical						
<input checked="" type="checkbox"/> Requirement Compliance Status	<input checked="" type="checkbox"/> Requirement Task Status			<input type="checkbox"/> Non-Applicable Tasks			
<input checked="" type="checkbox"/> Graphical Report Display Totals							
HTML Report				XLS Report			

## Report Admin Interface

# High Level Summary Report (3 of 3)

4. Select HIPAA Rule
5. Select Report style and details
6. Click HTML Report or XLS Report

Log Off Menu High Level Summary Report Help

<< Hide Sub-Groups

Sub-Groups

Select	Organization
<input checked="" type="checkbox"/>	<a href="#">MTF A</a>
<input checked="" type="checkbox"/>	<a href="#">MTF B</a>
<input type="checkbox"/>	<a href="#">MTF C</a>

include the following in Report:

Select HIPAA Rule: Security Standards

Report Style: ☒ Tabular ☐ Graphical

☒ Requirement Compliance Status ☒ Requirement Task Status ☒ Non-Applicable Tasks

☒ Graphical Report Display Totals

HTML Report XLS Report



# High Level Summary Report- Tabular (1 of 2)

## High Level Summary Report

Organization Name and User	Report Date	HIPAA Rule
Region A (Bob Smith)	6/15/2005	Security Standards

Reporting Organizations: MTF A; MTF B

Non-Tagged Subscriptions: none

### Summary Totals

	% Compliant	% Not Compliant	# Requirements	# Compliant	# Not Compliant		
Requirement Status	16.42	83.58	134	22	112		
	% Complete	% Not Complete	% Not Answered	# Tasks	# Complete	# Not Complete	# Not Answered
Requirement Task Status	15.75	0	84.25	1651	260	0	1391
	% Non Applicable		Total # Tasks		# Non Applicable		
Non-Applicable Task Status	7.14		1778		127		

MTF A

## Report Admin Interface

# High Level Summary Report- Tabular (2 of 2)

### MTF A

	% Compliant	% Not Compliant	# Requirements	# Compliant	# Not Compliant		
Requirement Status	19.4	80.6	67	13	54		
	% Complete	% Not Complete	% Not Answered	# Tasks	# Complete	# Not Complete	# Not Answered
Requirement Task Status	18.8	0	81.2	803	151	0	652
	% Non Applicable		Total # Tasks		# Non Applicable		
Non-Applicable Task Status	9.67		889		86		

### MTF B

	% Compliant	% Not Compliant	# Requirements	# Compliant	# Not Compliant		
Requirement Status	13.43	86.57	67	9	58		
	% Complete	% Not Complete	% Not Answered	# Tasks	# Complete	# Not Complete	# Not Answered
Requirement Task Status	12.85	0	87.15	848	109	0	739
	% Non Applicable		Total # Tasks		# Non Applicable		
Non-Applicable Task Status	4.61		889		41		

## Report Admin Interface

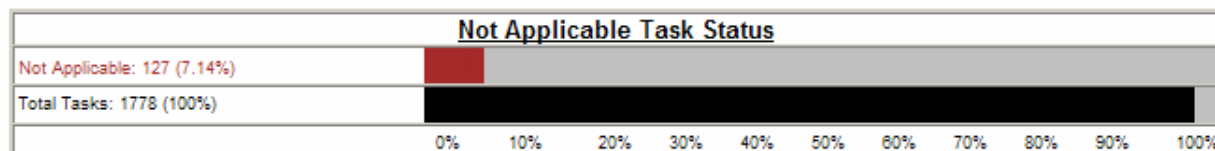
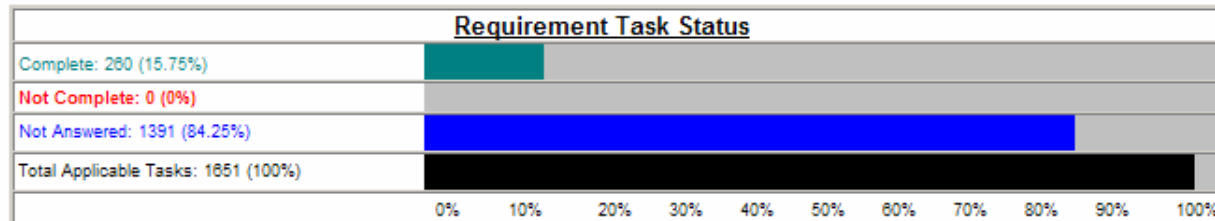
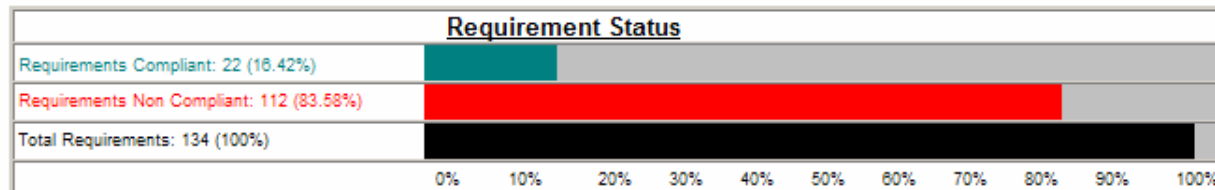
# High Level Summary Report – Graphical

### High Level Graphical Report

Organization Name and User	Report Date	HIPAA Rule
Region A ( Bob Smith)	6/15/2005	Security Standards

Reporting Organizations: MTF A; MTF B

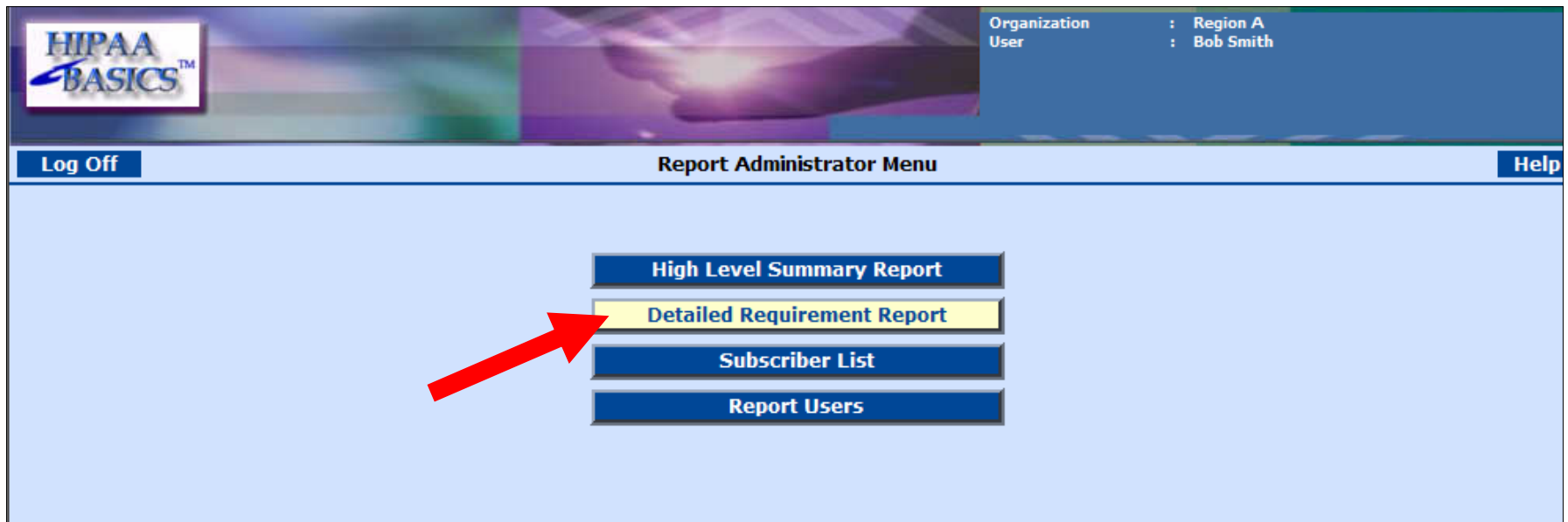
Non-Tagged Subscriptions: none



## Report Admin Interface

# Detailed Requirement Report (1 of 2)

1. Click on the Detailed Requirement Report button



## Report Admin Interface

# Detailed Requirement Report (2 of 2)

2. After selecting reporting organizations, Select the HIPAA Rule and report style
3. Click on [HTML Report](#) or [XLS Report](#)

**Log Off** **Menu** **Detailed Requirement Report** **Help**

**Sub-Groups**

Select	Organization
<input checked="" type="radio"/>	<a href="#">MTF A</a>
<input type="radio"/>	<a href="#">MTF B</a>
<input type="radio"/>	<a href="#">MTF C</a>

**include the following in Report:**

Select HIPAA Rule:

<input checked="" type="checkbox"/> Requirement Question	<input checked="" type="checkbox"/> # Tasks Complete	<input checked="" type="checkbox"/> # Tasks Not Complete
<input checked="" type="checkbox"/> # Tasks Not Answered	<input checked="" type="checkbox"/> # Tasks Not Applicable	<input checked="" type="checkbox"/> Requirement Note

☒ All ☐ Compliant Requirements ☐ Non-Compliant Requirements

**HTML Report** **XLS Report**

## Report Admin Interface

# Detailed Requirement Report Results

### Detailed Requirement Report

Organization Name and User		Report Date	HIPAA Rule							
Region A ( Bob Smith)		6/15/2005	Security Standards							
Reporting Organization: MTF A										
Non-Tagged Subscriptions: none										
Req#	Req Question	Organization	Tasks% Complete	#Tasks Complete	#Tasks Not Complete	#Tasks Not Answered	#Tasks Not Applicable	Total #Tasks	Req Note	Compliant
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.	Training	100	20	0	0	0	20	N	N
Req#	Req Question	Organization	Tasks% Complete	#Tasks Complete	#Tasks Not Complete	#Tasks Not Answered	#Tasks Not Applicable	Total #Tasks	Req Note	Compliant
108	A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of electronic PHI was conducted (R).	Training	100	19	0	0	0	19	Y	Y
Req#	Req Question	Organization	Tasks% Complete	#Tasks Complete	#Tasks Not Complete	#Tasks Not Answered	#Tasks Not Applicable	Total #Tasks	Req Note	Compliant
109	A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level is in place (R).	Training	100	14	0	0	0	14	N	N
Req#	Req Question	Organization	Tasks% Complete	#Tasks Complete	#Tasks Not Complete	#Tasks Not Answered	#Tasks Not Applicable	Total #Tasks	Req Note	Compliant
110	A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures has been developed (R).	Training	100	7	0	0	0	7	Y	Y
Req#	Req Question	Organization	Tasks% Complete	#Tasks Complete	#Tasks Not Complete	#Tasks Not Answered	#Tasks Not Applicable	Total #Tasks	Req Note	Compliant
111	Information System Activity Review procedures to regularly review records of system activity, such as audit logs, access reports, and security incident tracking reports, are implemented (R).	Training	-	0	0	0	15	15	Y	Y

## Report Admin Interface

# Summary

---

- You should now be able to:
  - Identify functionality of Report Admins at each level
  - Describe the Report Admin interface
  - Generate High Level and Detailed Requirement Reports

# **Subscription Maintenance**



## Subscription Maintenance

# Objectives

---

- Upon completion of this lesson, you will be able to:
  - Create baseline compliance assessments
  - Edit user accounts within your subscription as the Subscriber Administrator
  - Inactivate users within Subscription
  - Reassign Lead Users to Gap Analysis
  - Identify what to do if you run out of license packs

## Subscription Maintenance

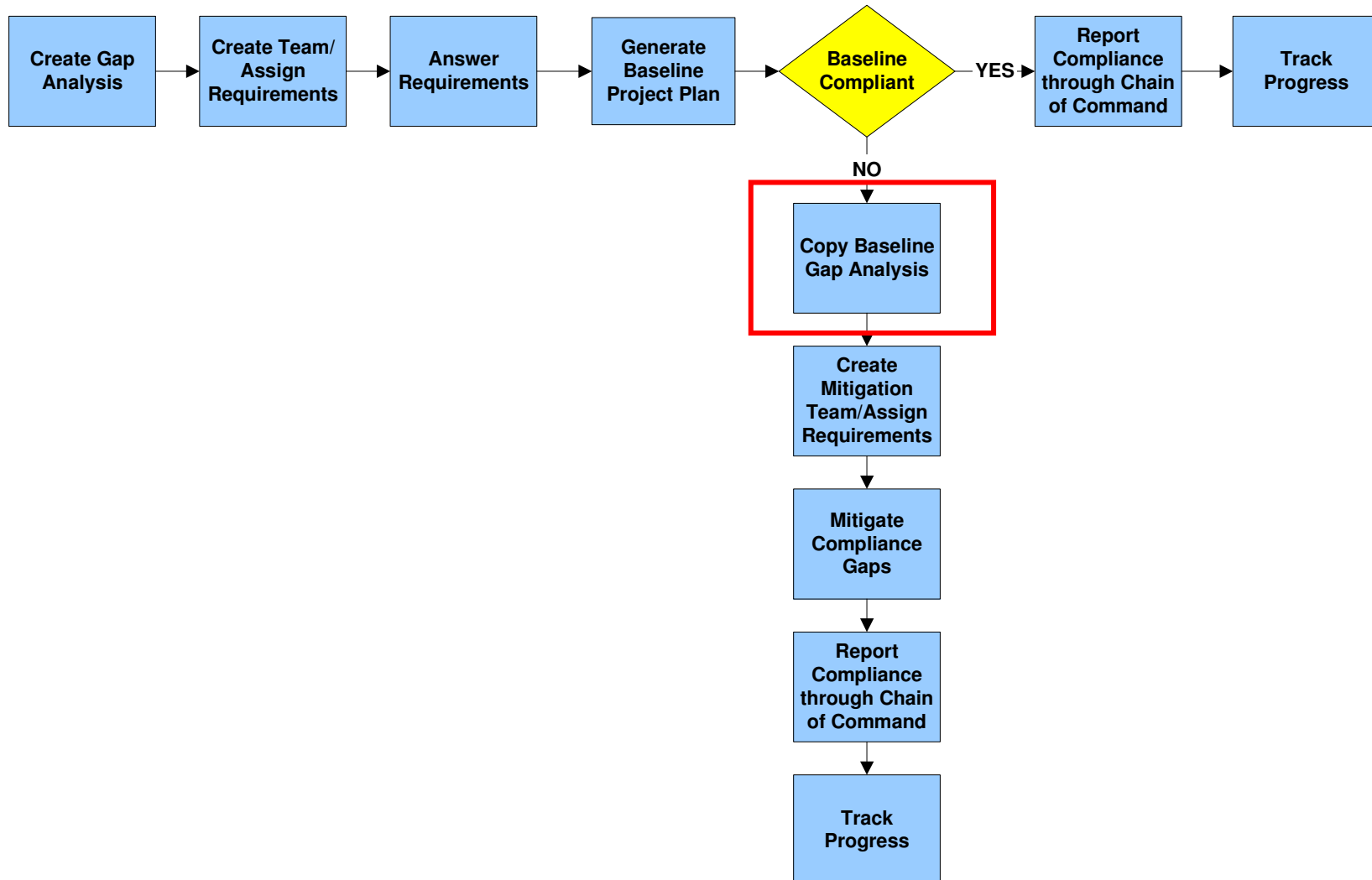
# Copy Gap Analysis (1 of 6)

---

- The Subscriber Administrator is responsible for copying Gap Analyses to create a baseline compliance assessment
- The Gap Analysis must be upgraded to the current version before it can be copied
- The Lead User of Gap Analysis must communicate the need for a copy to their Subscriber Administrator

# Subscription Maintenance

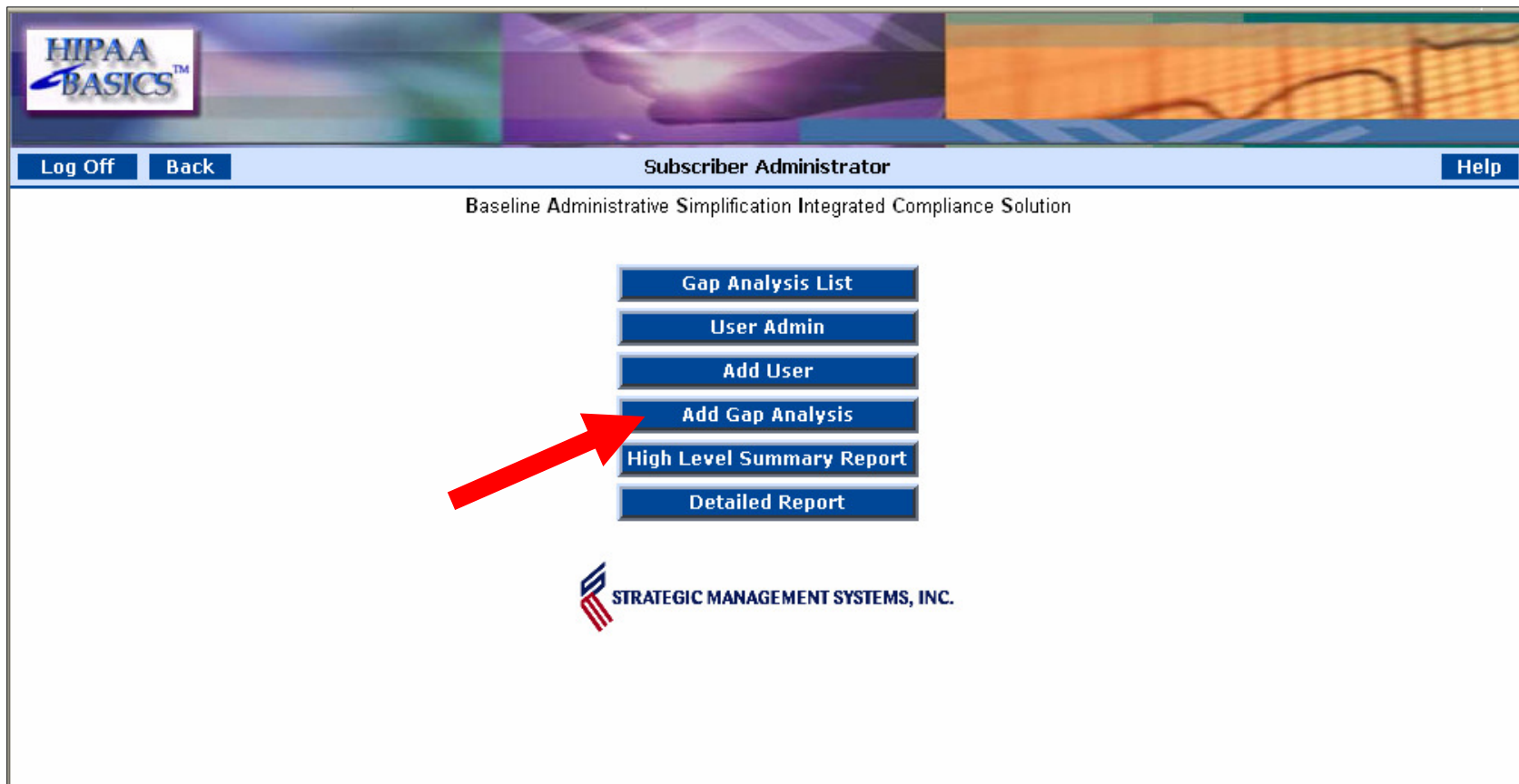
## Copy Gap Analysis (2 of 6)



## Subscription Maintenance

# Copy Gap Analysis (3 of 6)

1. Select the **Add Gap Analysis** button from the Admin screen



## Subscription Maintenance

# Copy Gap Analysis (4 of 6)

- Click on the **New Version** button on the bottom of the screen

The screenshot shows a web application window titled "Add New Gap Analysis Project". At the top, there are buttons for "Log Off", "Back", and "Help". The form contains several input fields and sections:

- \*Lead User**: A dropdown menu.
- Data Collection Date (mm/dd/yyyy)**: A date input field.
- Gap ID**: A text input field.
- Notes for Client**: A large text area.
- Date Completed (mm/dd/yyyy)**: A date input field.
- Internal**: A text area.
- HIPAA Rule**: A dropdown menu with a note: "Please select the HIPAA rule this GAP is associated with. If this GAP is being used for training or testing purposes, and will not be used for rolled up reporting, please leave the selection blank."
- Partial Gap Analysis (OPTIONAL):** A section with instructions: "If you wish to set HIPAA Rule(s) as Not Applicable, you may uncheck the corresponding Applicability boxes and thereby pre-answer with 'Does Not Apply'. This has the effect that the Status of all Tasks for the Requirements of the deselected Rule(s) are set to 'Does Not Apply'."
- Applicability**: A list of checkboxes for various standards:
  - Standards for Electronic Transactions and Code Sets ☒
  - Standard Unique Health Identifier for Health Care Providers ☒
  - Security Standards ☒
  - Standards for the Privacy of Individually Identifiable Health Information ☒
  - National Standard Employer Identifier ☒
  - National Standard Health Plan Identifier ☒

At the bottom of the form, there are three buttons: "Clear", "NewVersion", and "Add". A red arrow points to the "NewVersion" button.

## Subscription Maintenance

# Copy Gap Analysis (5 of 6)

3. Select the **Gap ID** from the drop down menu
  - *After selecting the Gap ID, all other fields will be filled in*
4. Click on the **Add** button

**HIPAA BASICS™**  
Please click on Add/Update to save changes...

[Log Off](#) [Back](#) **Add New Gap Version** [Help](#)

Gap ID: **TRNG Test** (dropdown menu)

\*Lead User: Megan McCarron (dropdown menu)

Data Collection Date (mm/dd/yyyy): 4/28/2005

Target Completion (mm/dd/yyyy):

Project Start (mm/dd/yyyy):

Gap ID: TRNG Test Version 2

Date Completed (mm/dd/yyyy):

Notes for Client:

Internal:

HIPAA Rule: The HIPAA rule this GAP is associated with.

Security Standards:

Reset:  
☒ Answers ☒ TaskNote ☒ RequirementNote ☒ TeamAssigned

[Clear](#) [Add](#)

# Subscription Maintenance

## Copy Gap Analysis (6 of 6)

5. Click on **OK** to proceed creating the new version

The screenshot shows the 'HIPAA BASICS' web application interface. At the top, there is a banner with the logo and a message: 'Please click on Add/Update to save changes...'. Below the banner are buttons for 'Log Off', 'Back', and 'Help'. The main title of the page is 'Add New Gap Version'. The form contains several input fields: 'Gap ID' (a dropdown menu showing 'TRNG Test'), '\*Lead User' (a dropdown menu showing 'Megan McCarron'), 'Data Collection Date (mm/dd/yyyy)' (a text box with '4/28/2005'), 'Target Completion (mm/dd/yyyy)' (an empty text box), 'Project Start (mm/dd/yyyy)' (an empty text box), 'Gap ID' (a text box with 'TRNG Test Version 2'), 'Date Completed (mm/dd/yyyy)' (an empty text box), and 'Notes for Client' (a large text area). There is also an 'Internal' section with a checkbox. At the bottom, there is a 'HIPAA Rule' section with a text box, a 'Reset:' section with four checked checkboxes ('Answers', 'TaskNote', 'RequirementNote', 'TeamAssigned'), and two buttons ('Clear' and 'Add'). A 'Microsoft Internet Explorer' dialog box is overlaid on the form, asking 'Do you wish to create a new version? Click 'OK' to Proceed.' with 'OK' and 'Cancel' buttons. A red arrow points to the 'OK' button in the dialog box.

Log Off Back Add New Gap Version Help

Gap ID TRNG Test

\*Lead User Megan McCarron

Data Collection Date (mm/dd/yyyy) 4/28/2005

Target Completion (mm/dd/yyyy)

Project Start (mm/dd/yyyy)

Gap ID TRNG Test Version 2

Date Completed (mm/dd/yyyy)

Notes for Client

Internal

HIPAA Rule The HIPAA rule this GAP is associated with.

Reset: ☒ Answers ☒ TaskNote ☒ RequirementNote ☒ TeamAssigned

Clear Add

Microsoft Internet Explorer

Do you wish to create a new version?  
Click 'OK' to Proceed.

OK Cancel

## Subscription Maintenance

# Edit User Accounts Across Subscription

---

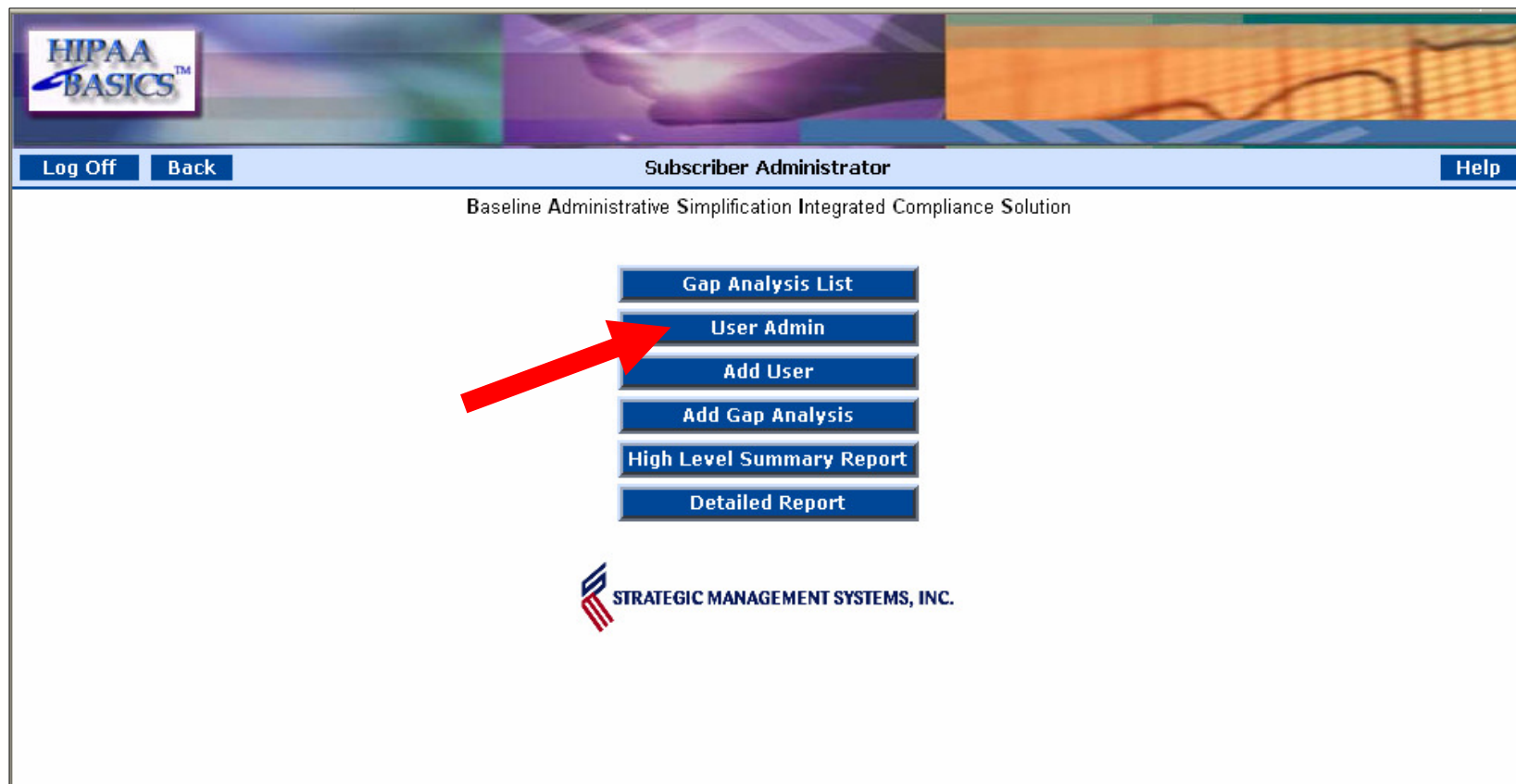
- The Subscriber Administrator is responsible for editing user accounts
  - Change passwords
  - Update user information



## Subscription Maintenance

# Edit User Account (1 of 3)

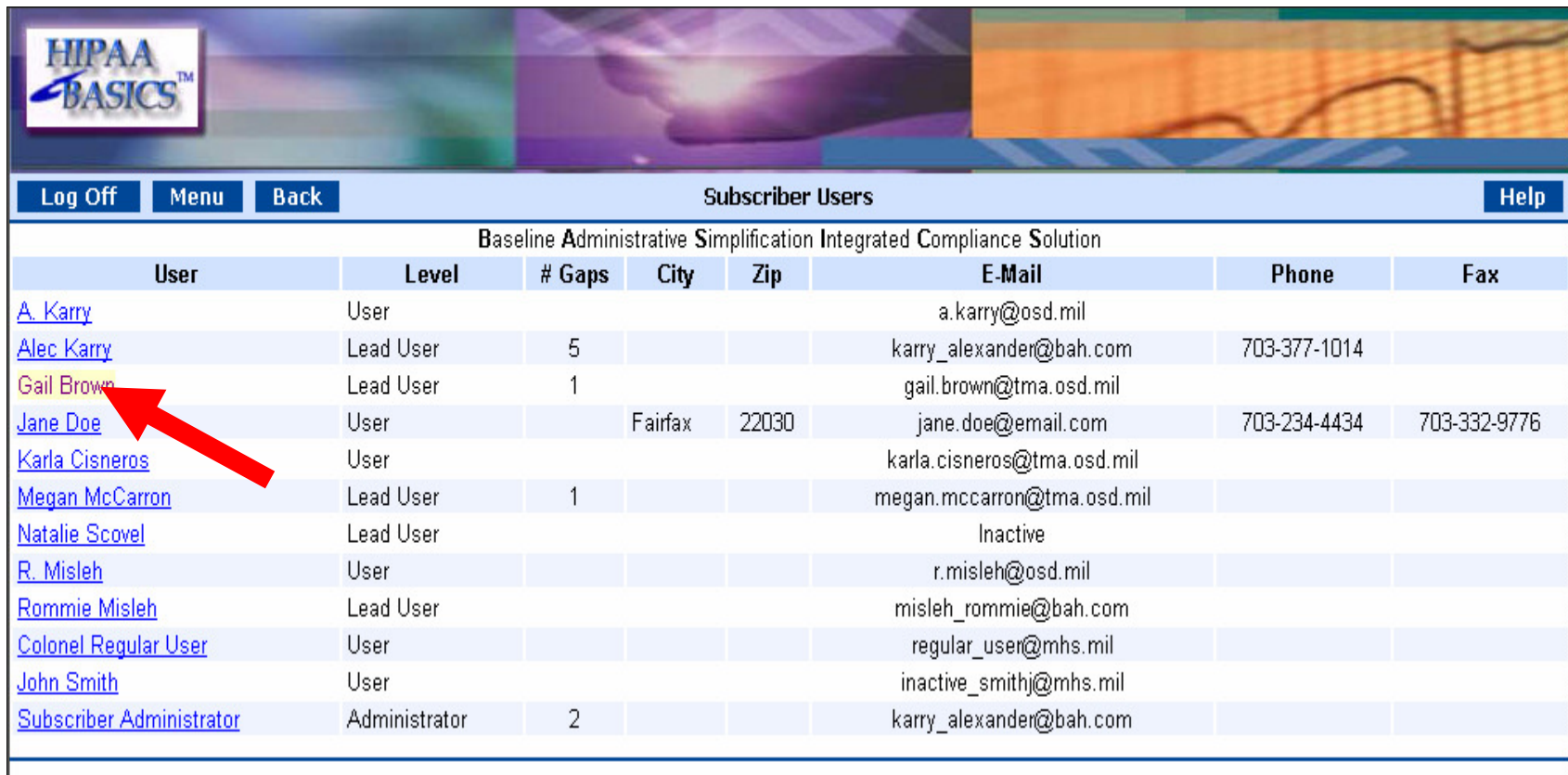
1. Select the **User Admin** button from the Admin screen



## Subscription Maintenance

# Edit User Account (2 of 3)

2. Select the user whose account you want to edit



The screenshot shows the HIPAA BASICS web application interface. At the top left is the HIPAA BASICS logo. Below it are buttons for 'Log Off', 'Menu', and 'Back'. The main heading is 'Subscriber Users', and there is a 'Help' button on the right. Below the heading is a table with the following columns: User, Level, # Gaps, City, Zip, E-Mail, Phone, and Fax. The table contains 12 rows of user data. A red arrow points to the 'Jane Doe' user entry.

Baseline Administrative Simplification Integrated Compliance Solution							
User	Level	# Gaps	City	Zip	E-Mail	Phone	Fax
<a href="#">A. Karry</a>	User				a.karry@osd.mil		
<a href="#">Alec Karry</a>	Lead User	5			karry_alexander@bah.com	703-377-1014	
<a href="#">Gail Brown</a>	Lead User	1			gail.brown@tma.osd.mil		
<a href="#">Jane Doe</a>	User		Fairfax	22030	jane.doe@email.com	703-234-4434	703-332-9776
<a href="#">Karla Cisneros</a>	User				karla.cisneros@tma.osd.mil		
<a href="#">Megan McCarron</a>	Lead User	1			megan.mccarron@tma.osd.mil		
<a href="#">Natalie Scovel</a>	Lead User				Inactive		
<a href="#">R. Misleh</a>	User				r.misleh@osd.mil		
<a href="#">Rommie Misleh</a>	Lead User				misleh_rommie@bah.com		
<a href="#">Colonel Regular User</a>	User				regular_user@mhs.mil		
<a href="#">John Smith</a>	User				inactive_smithj@mhs.mil		
<a href="#">Subscriber Administrator</a>	Administrator	2			karry_alexander@bah.com		

## Subscription Maintenance

# Edit User Account (3 of 3)

3. Change User information on the User Details screen
4. Click on the **Update** button

**HIPAA BASICS™**  
Please click on Add/Update to save changes...

**Log Off** **Menu** **Back** **User Detail** **Help**

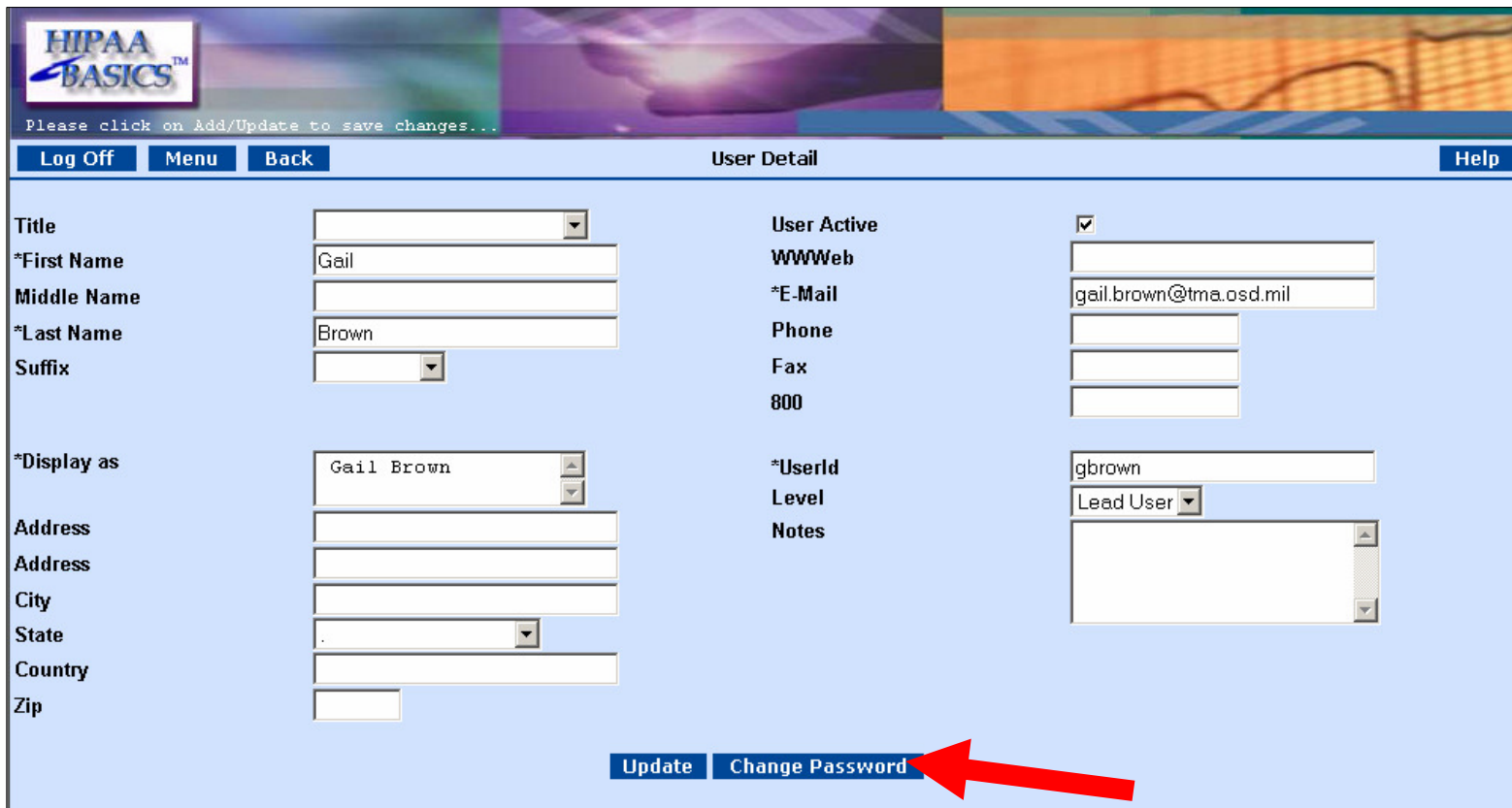
Title	<input type="text"/>	User Active	<input checked="" type="checkbox"/>
*First Name	<input type="text" value="Gail"/>	WWW	<input type="text"/>
Middle Name	<input type="text"/>	*E-Mail	<input type="text" value="gail.brown@tma.osd.mil"/>
*Last Name	<input type="text" value="Brown"/>	Phone	<input type="text"/>
Suffix	<input type="text"/>	Fax	<input type="text"/>
		800	<input type="text"/>
*Display as	<input type="text" value="Gail Brown"/>	*UserId	<input type="text" value="gbrown"/>
Address	<input type="text"/>	Level	<input type="text" value="Lead User"/>
Address	<input type="text"/>	Notes	<input type="text"/>
City	<input type="text"/>		
State	<input type="text"/>		
Country	<input type="text"/>		
Zip	<input type="text"/>		

**Update** **Change Password**

## Subscription Maintenance

# Edit User Account: Change Password (1 of 2)

1. Click on the **Change Password** button from the User Detail screen



**HIPAA BASICS™**  
Please click on Add/Update to save changes...

**Log Off** **Menu** **Back** **User Detail** **Help**

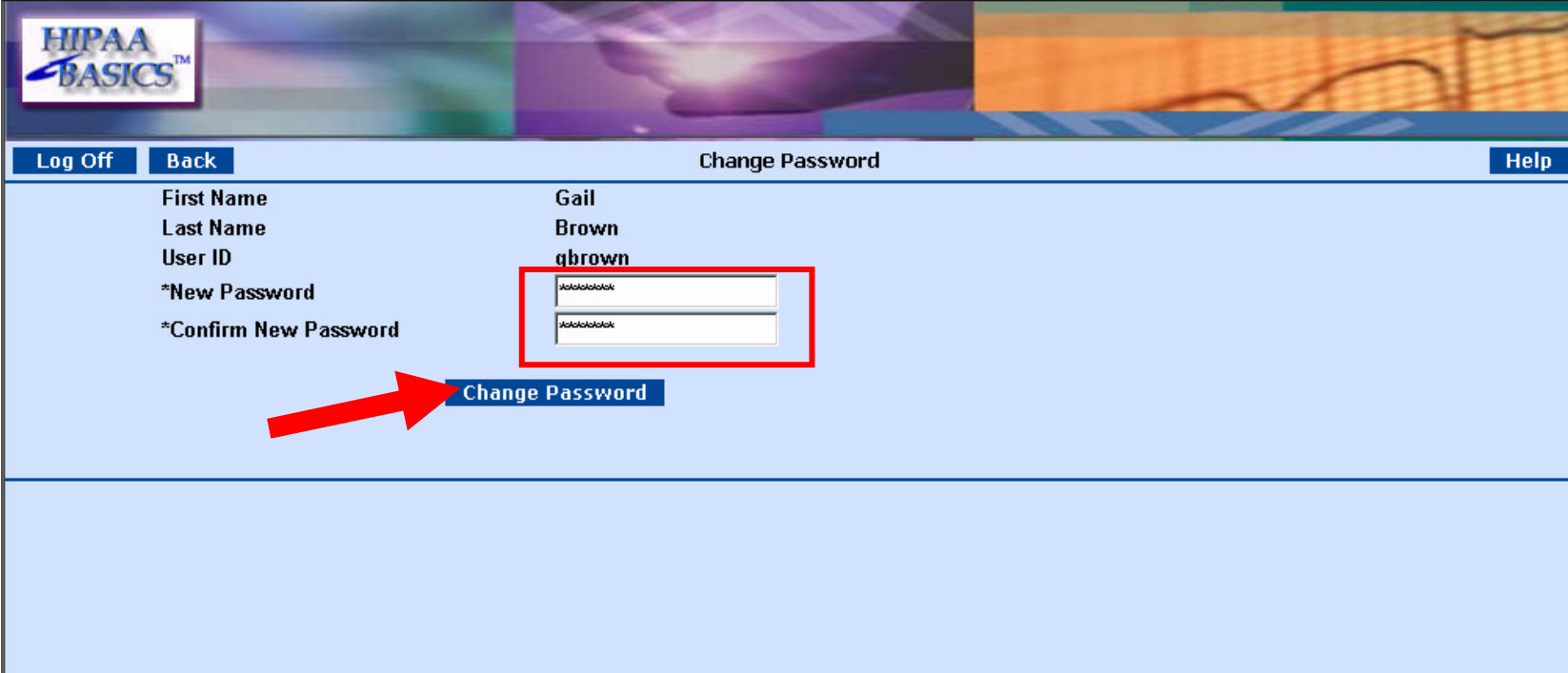
Title	<input type="text"/>	User Active	<input checked="" type="checkbox"/>
*First Name	<input type="text" value="Gail"/>	WWWWeb	<input type="text"/>
Middle Name	<input type="text"/>	*E-Mail	<input type="text" value="gail.brown@tma.osd.mil"/>
*Last Name	<input type="text" value="Brown"/>	Phone	<input type="text"/>
Suffix	<input type="text"/>	Fax	<input type="text"/>
		800	<input type="text"/>
*Display as	<input type="text" value="Gail Brown"/>	*UserId	<input type="text" value="gbrown"/>
Address	<input type="text"/>	Level	<input type="text" value="Lead User"/>
Address	<input type="text"/>	Notes	<input type="text"/>
City	<input type="text"/>		
State	<input type="text"/>		
Country	<input type="text"/>		
Zip	<input type="text"/>		

**Update** **Change Password**

## Subscription Maintenance

# Edit User Account: Change Password (2 of 2)

2. Create New Password and Confirm New Password
3. Click on the **Change Password** button



The screenshot shows a web interface for "HIPAA BASICS™". At the top, there is a navigation bar with "Log Off", "Back", "Change Password", and "Help" buttons. Below this, the form displays user information: First Name (Gail), Last Name (Brown), and User ID (qbrown). There are two password input fields labeled "\*New Password" and "\*Confirm New Password", both containing masked text (asterisks). A red rectangle highlights these two fields. Below the password fields is a blue "Change Password" button, which is pointed to by a large red arrow.

First Name	Gail
Last Name	Brown
User ID	qbrown
*New Password	<input type="password"/>
*Confirm New Password	<input type="password"/>
<input type="button" value="Change Password"/>	

## Subscription Maintenance

# Inactivate Users within Subscription (1 of 4)

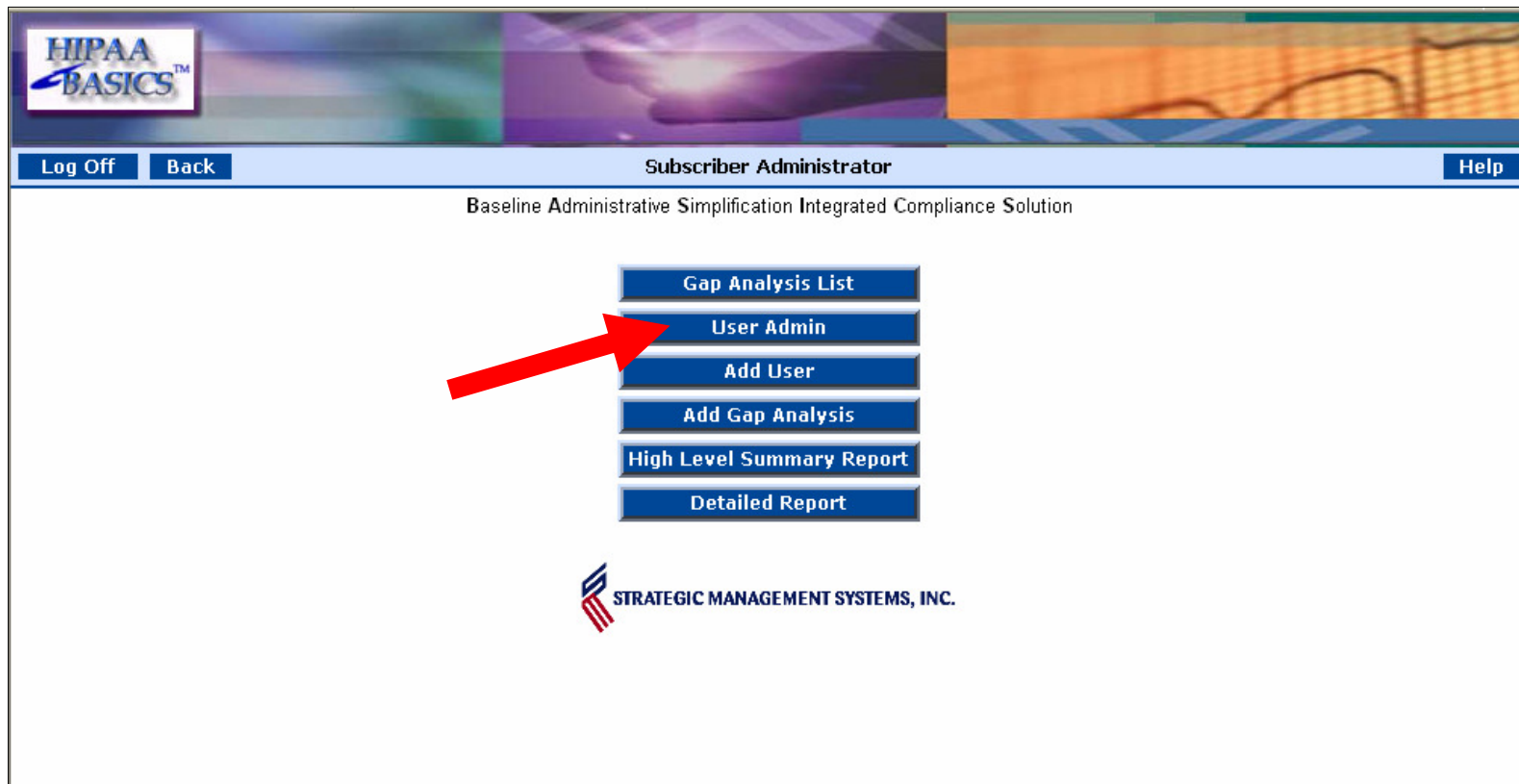
---

- If a user has been removed from all involved teams and not longer needs access to HIPAA BASICS™, the Subscriber Administrator then needs to inactivate the user account
- Once inactivated, the user will no longer be able to login
- The inactive user can be replaced by someone arriving at your facility

## Subscription Maintenance

# Inactivate Users within Subscription (2 of 4)

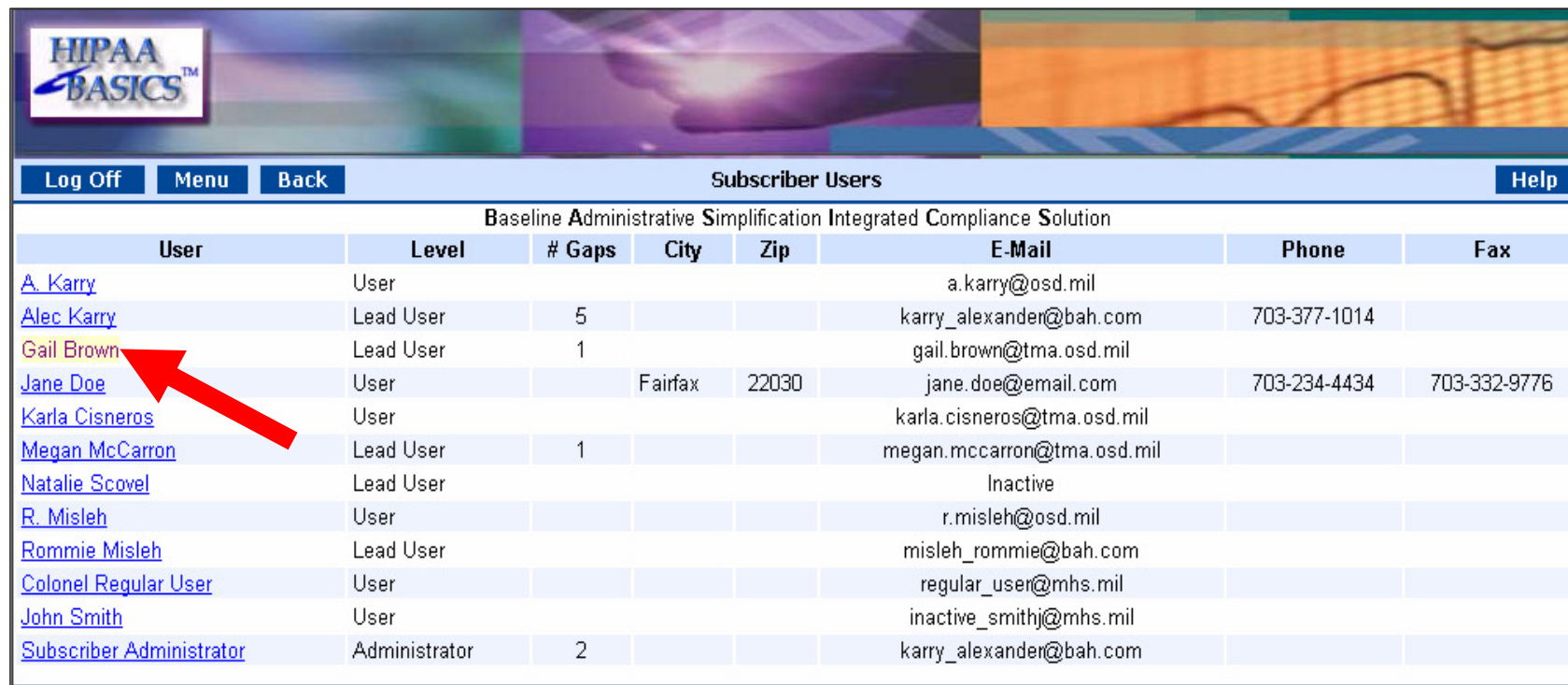
1. Click on the **User Admin** button from the Admin screen



## Subscription Maintenance

# Inactivate Users within Subscription (3 of 4)

2. Select the user that you want to inactivate



The screenshot shows the 'Subscriber Users' interface of the HIPAA BASICS system. At the top, there is a header bar with 'Log Off', 'Menu', 'Back', and 'Help' buttons. Below this is a table titled 'Subscriber Users' with the subtitle 'Baseline Administrative Simplification Integrated Compliance Solution'. The table has columns for User, Level, # Gaps, City, Zip, E-Mail, Phone, and Fax. A red arrow points to the row for 'Gail Brown'.

User	Level	# Gaps	City	Zip	E-Mail	Phone	Fax
<a href="#">A. Karry</a>	User				a.karry@osd.mil		
<a href="#">Alec Karry</a>	Lead User	5			karry_alexander@bah.com	703-377-1014	
<a href="#">Gail Brown</a>	Lead User	1			gail.brown@tma.osd.mil		
<a href="#">Jane Doe</a>	User		Fairfax	22030	jane.doe@email.com	703-234-4434	703-332-9776
<a href="#">Karla Cisneros</a>	User				karla.cisneros@tma.osd.mil		
<a href="#">Megan McCarron</a>	Lead User	1			megan.mccarron@tma.osd.mil		
<a href="#">Natalie Scovel</a>	Lead User				Inactive		
<a href="#">R. Misleh</a>	User				r.misleh@osd.mil		
<a href="#">Rommie Misleh</a>	Lead User				misleh_rommie@bah.com		
<a href="#">Colonel Regular User</a>	User				regular_user@mhs.mil		
<a href="#">John Smith</a>	User				inactive_smithj@mhs.mil		
<a href="#">Subscriber Administrator</a>	Administrator	2			karry_alexander@bah.com		



## Subscription Maintenance

# Inactivate Users within Subscription (4 of 4)

3. Remove the check in the “User Active” box
4. Click on the **Update** button

The screenshot displays the 'User Detail' form in the HIPAA BASICS application. The form is divided into two main sections: user identification and contact information on the left, and user status and login details on the right. The 'User Active' checkbox is highlighted with a red square, and the 'Update' button is pointed to by a red arrow.

**HIPAA BASICS™**  
Please click on Add/Update to save changes...

**Log Off** **Menu** **Back** **User Detail** **Help**

<b>Title</b>	<input type="text"/>	<b>User Active</b>	<input type="checkbox"/>
<b>*First Name</b>	<input type="text" value="Gail"/>	<b>WWWWeb</b>	<input type="text"/>
<b>Middle Name</b>	<input type="text"/>	<b>*E-Mail</b>	<input type="text" value="gail.brown@tma.osd.mil"/>
<b>*Last Name</b>	<input type="text" value="Brown"/>	<b>Phone</b>	<input type="text"/>
<b>Suffix</b>	<input type="text"/>	<b>Fax</b>	<input type="text"/>
<b>*Display as</b>	<input type="text" value="Gail Brown"/>	<b>800</b>	<input type="text"/>
<b>Address</b>	<input type="text"/>	<b>*UserId</b>	<input type="text" value="gbrown"/>
<b>Address</b>	<input type="text"/>	<b>Level</b>	<input type="text" value="Lead User"/>
<b>City</b>	<input type="text"/>	<b>Notes</b>	<input type="text"/>
<b>State</b>	<input type="text"/>		
<b>Country</b>	<input type="text"/>		
<b>Zip</b>	<input type="text"/>		

**Update** **Change Password**

## Subscription Maintenance

# View/Edit Gaps across Subscription (1 of 3)

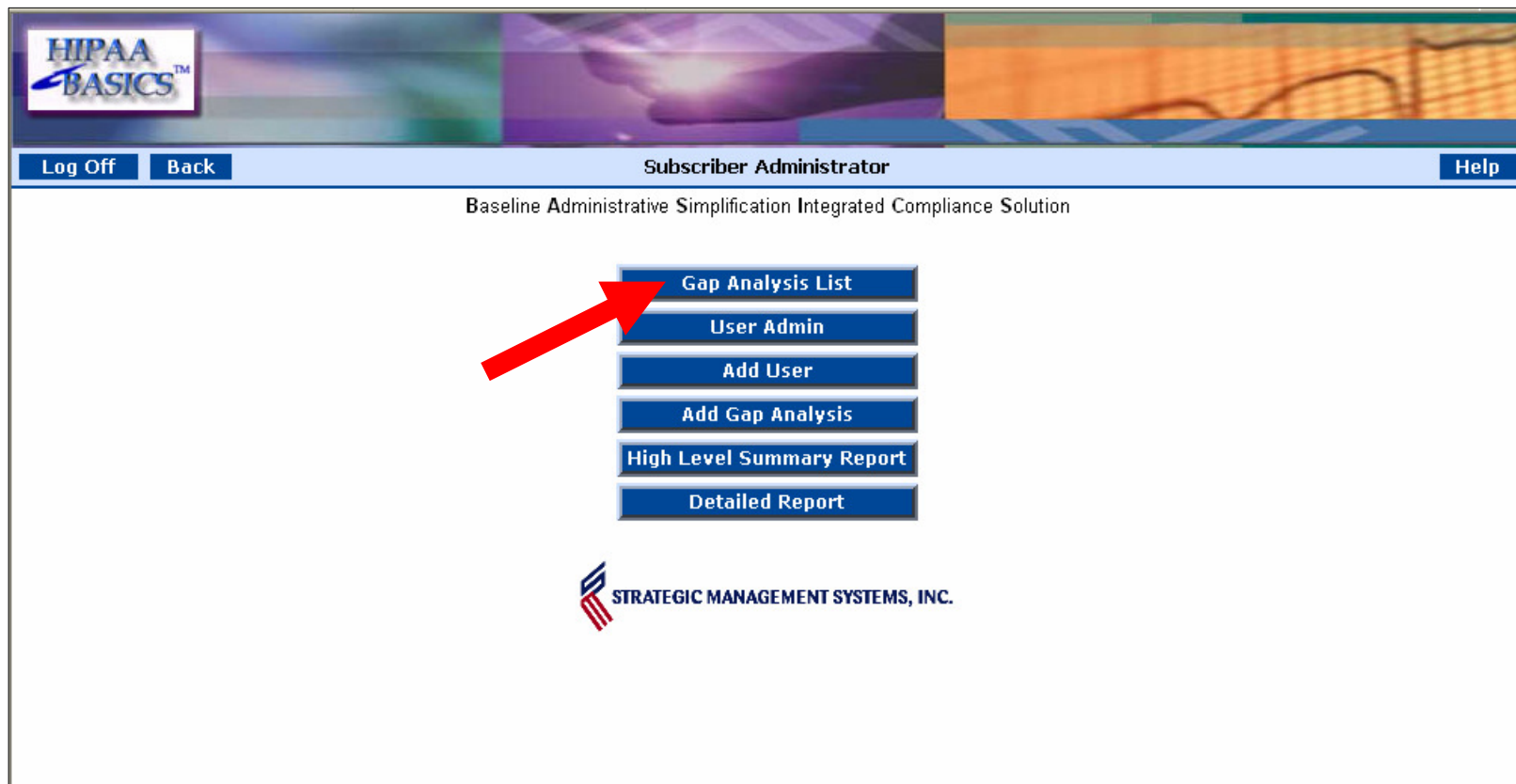
---

- The Subscriber Administrator has the ability to view and edit any Gap Analysis within their subscription

## Subscription Maintenance

# View/Edit Gaps across Subscription (2 of 3)

1. Click on the **Gap Analysis List** button from the Admin screen



## Subscription Maintenance

# View/Edit Gaps across Subscription (3 of 3)

2. This screen displays all of the Gap Analyses that are set up within your Subscription

<

## Subscription Maintenance

# Reassign Lead Users (1 of 3)

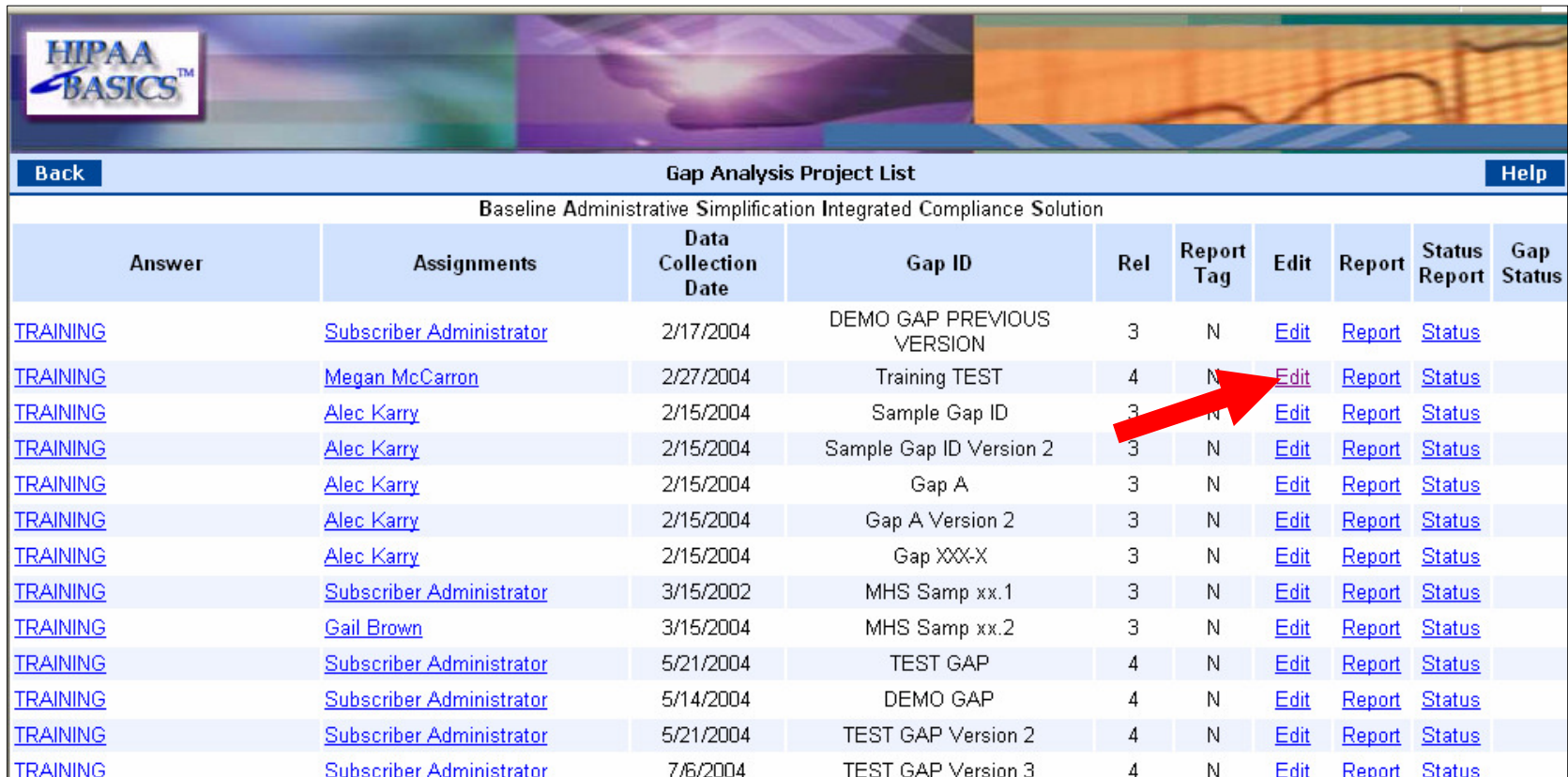
---

- The Subscriber Administrator has the ability to reassign Lead Users from one Gap Analysis to another
- Can only be done for Gaps within your Subscription
- The Lead User account must be established by the Subscriber Administrator before they can be assigned as a Lead User for a specific Gap Analysis

# Subscription Maintenance

## Reassign Lead Users (2 of 3)

1. Select the [Edit](#) link from the Gap Analysis Project List screen



Gap Analysis Project List									
Back	Baseline Administrative Simplification Integrated Compliance Solution								Help
Answer	Assignments	Data Collection Date	Gap ID	Rel	Report Tag	Edit	Report	Status Report	Gap Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	Sample Gap ID	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	Sample Gap ID Version 2	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	Gap A	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	Gap A Version 2	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	Gap XXX-X	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	3/15/2002	MHS Samp xx.1	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Gail Brown</a>	3/15/2004	MHS Samp xx.2	3	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/21/2004	TEST GAP	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/21/2004	TEST GAP Version 2	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	7/6/2004	TEST GAP Version 3	4	N	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	

## Subscription Maintenance

# Reassign Lead Users (3 of 3)

2. Select a new “Lead User” from the drop down box
3. Click on the **Update** button

**HIPAA BASICS™**

Please click on Add/Update to save changes...

Log Off Menu Admin Edit Gap Analysis Help

**Lead User**

Data Collection Date (mm/dd/yyyy)

Target Completion (mm/dd/yyyy)

Project Start (mm/dd/yyyy)

Gap ID

Gap Active

Date Completed (mm/dd/yyyy)

Notes for Client

Internal

**HIPAA Rule**

Please select the HIPAA Rule this GAP is associated with. If this GAP is being used for training or testing purposes, and will not be used for rolled up reporting, please leave the selection blank.

**Reporting Tag**

Archive to File Project Plan Project Plan XLS Reassign User Assignments **Update**

## Subscription Maintenance

# License Packs

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- A license pack is a collection of users per subscription
- Standard license pack is 3 – 3 – 5
- The system will let you know when you have run out
- The Subscriber Administrator is responsible for contacting the HIPAA Support Center if they run out of license packs

Lead Users	Regular Users	Gap Per Lead
3	3	5



## Subscription Maintenance

# Maintenance Summary

---

- You should now be able to:
  - Edit user accounts within your subscription as the Subscriber Administrator
  - Inactivate users within Subscription
  - Reassign Lead Users to Gap Analysis
  - Identify what to do if you run out of license packs

# Presentation Summary

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- You should now be able to:
  - Identify the use of HIPAA BASICS™ in achieving HIPAA Compliance (Privacy/Security)
  - Describe the user roles and responsibilities within HIPAA BASICS™
  - Perform the functions of the Subscriber Administrator in HIPAA BASICS™
  - Perform the functions of the Lead User in HIPAA BASICS™
  - Describe the Report Admin interface and generate rolled up reporting

# Resources

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- DoD 6025.18-R, “DoD Health Information Privacy Regulation”, January 2003
- DoD 8580.X-R, DoD Health Information Security Regulation (Draft)
- [www.tricare.osd.mil/tmaprivacy/HIPAA.cfm](http://www.tricare.osd.mil/tmaprivacy/HIPAA.cfm)
- [privacymail@tma.osd.mil](mailto:privacymail@tma.osd.mil) for subject matter questions
- [hipaasupport@tma.osd.mil](mailto:hipaasupport@tma.osd.mil) for tool related questions
- <http://www.tricare.osd.mil/tmaprivacy/Mailing-List.cfm> to subscribe to the TMA Privacy Office E-News
- HIPAA Service Privacy/Security Representatives